

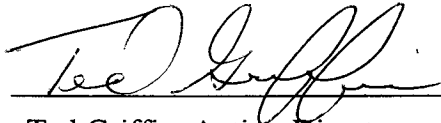


Strategic Plan Update
FY 2004 - FY 2008
for
Information Management
Office of Science
Headquarters

Ted Griffin, Acting Director
Information Services and Planning Division
Office of Science

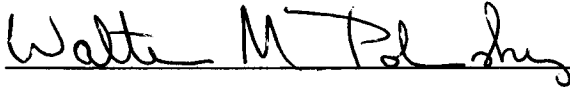
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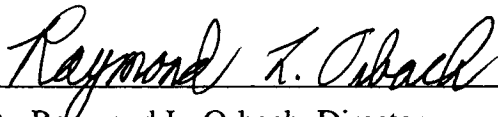
Ted Griffin, Acting Director
Information Services and Planning Division

11/6/03
Date



Dr. Walt Polansky, Acting Senior Information
Management Executive
Office of Information Technology Management

11/06/03
Date



Dr. Raymond L. Orbach, Director
Office of Science

Nov. 6, 2003
Date

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IM Strategic Plan Overview

The IM Operating Plan for the Department of Energy (DOE) Office of Science (SC) Headquarters (HQ) represents an agreement between the Office of Information Technology Management (SC-40) and its customers as represented by the Customer Information Advisory Group (CIAG), the Information Management Board (IMB), and the SC Executive Steering Committee (ESC). The Plan identifies the IM projects and services to be delivered by the Information Services and Planning Division (SC-41) during FY 2004, how they will be provided, and when they will be provided.

The Plan includes the top items as prioritized (during FY 2002) by the Executive Steering Committee (ESC) that are planned for completion from fiscal year (FY) 2004 through 2008, assuming an anticipated budget of \$7 million for each fiscal year. Items in the Infrastructure and Services categories are guaranteed for delivery in the years identified within these assumed budgets because their costs are well defined. Items in the remaining categories are not guaranteed for delivery within the years identified because they are development efforts and their costs can only be estimated at this time. Each project requires significant customer involvement during the year planned for delivery to detail scope and requirements, only after which costs can be well defined and a determination made as to whether sufficient funds are available. Items planned for FY 2009 and beyond are listed in the Post Five Year IM Projects section of this document.

This year's update reflects several improvements in the planning process that better define the scope of each project, the relationships between each project, and how each project supports the business activities of SC, as well as the President's Management Agenda. Changes included the following.

- Federal e-Government and Innovative Department of Energy e-Government Applications (IDEA) initiatives were analyzed to determine their impact on SC Headquarters projects. Where feasible, managers of each initiative were interviewed and documentation was analyzed to determine the extent to which there was overlap or requirements to interface with SC Headquarters projects. Overlap was identified between SC HQ Corporate Development and ePME, and per agreements with ePME, SC-41 will implement critical functionality currently performed by RMIS, which is at risk of failure. A summary of how each initiative will affect SC Headquarters projects can be found beginning on page 87.
- Corporate Development applications were renamed to illustrate the direct correlation between the applications and the business activities performed by SC (as reflected in the Business Model) and better communicate their functions. The correlation between applications and the business model is shown on page 85 and changes to the application names are summarized below.
 - Budget Formulation and Budget Execution applications become "Budget"
 - Execution Work Management applications become "Procurement"
 - Management applications become "Direction and Promotion"
 - Intranet, Reference, Support Services, and Human Resources applications do not change
- Dependencies among all planned projects in fiscal years 2004-2008 were examined and are identified on page 93.
- Corporate System Development project narratives were improved. Project scope is now defined in terms of the business activities to be automated by the application and the data that is processed by those activities. The activities and data associated with each application are listed with the application description. Appendix B provides more detailed capabilities of each activity.
- Technologies required to support each corporate development application have been identified.
- Legacy systems that pose a significant risk to the integrity and stability of the infrastructure were identified. Projects retire these systems have been added to the plan to maintain a stable and current technology infrastructure.
- Infrastructure project narratives were improved to more clearly define the purpose and scope of each project as follows.
 - Detailed descriptions

IM Strategic Plan Overview

- Identification of user benefits
- Identification of interdependencies with other infrastructure projects, corporate system development projects, and relevant technologies. These dependencies are summarized on page 95.
- Identification of how each project supports the Presidents' Management Agenda.

A project to develop the SC Financial Assistance System (Procurement 2.0, SC-FAS) is scheduled for FY 2004 per the direction of the Director of the Office of Science. This project is to receive an estimated \$500,000 in funding.

The updated Plan is the sole basis for the development of the FY 2004 IM Operating Plan. Requirements, scope, schedules, and delivery plans continue to be refined in collaboration with customers throughout FY 2004 to help ensure that products and services are delivered effectively and accomplish their intended purpose.

IM Strategic Plan Overview

The IM Strategic Plan is organized into the following sections.

IM Strategic Plan Schedule	Provides a target schedule for the delivery of IM products and services.
IM Strategic Plan 5-Year Cost Estimate	Provides breakdown of projects by fiscal year and estimated cost, assuming anticipated budgets of \$7 million for FY 2004 and \$7 million each for fiscal years 2005 through 2008.
IM Strategic Plan Narratives	<p>Provides a description of each line item in the schedule.</p> <ul style="list-style-type: none">• Infrastructure Projects: Items that are needed to maintain the SC HQ IM infrastructure and keep it current, and comply with Federal regulations. These items have been agreed to as non-discretionary by the SC IM customer groups.• IM Services: IM services provided to customers.• Corporate System Development: New corporate development planned in support of SC HQ business activities (as defined by the SC HQ Business Model).• Legacy Systems Retirement: Projects to replace or enhance legacy systems because they have a high risk of downtime, increased maintenance costs, or failure, and because they were given high priority by the ESC. There are no Legacy Systems Retirements planned for FY 2004.• Associate Director/Office Director (AD/OD) Projects: IM projects recommended by AD/ODs during interviews with SC-41 during FY 2002 that are not covered elsewhere in the Plan.• SC-41 Projects: IM projects recommended by SC-41 to improve IM support to customers.• SC-1 Projects: SC-41 will work with SC-1 to determine and implement SC-1 IM needs on a priority basis.• OneSC Projects Solutions for senior management IM requirements in support of OneSC. These projects are to be determined and will include quick delivery solutions for senior management IM requirements in support of OneSC.
Post Five Year Plan IM Projects	Lists items that are planned for FY 2009 and beyond.
Application Relationship to Business Model Activities	Provides a chart illustrating the correlation between applications and the SC Headquarters business model.
Corporate Outlook Status	Provides a table illustrating the status of Governmentwide and initiatives.
Corporate System Development Dependencies	Provides a diagram illustrating the dependencies among corporate system development projects.
Project Relationships	Provides a diagram illustrating the relationships among all projects.
Legacy System to New Application Relationships	Provides the relationships between the implementation of corporate system development and the resulting retirement, replacement, or enhancement of legacy systems that are not planned until FY 2009 and beyond.
SC Business Model	Contains a hierarchical illustration of the SC business model.

IM Strategic Plan Overview

Capabilities	Contains a list of capabilities provided by each planned SC corporate system.
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Preparation of this document was coordinated by the Office of Science Information Services and Planning Division. Questions can be addressed to: Ted Griffin, SC-41, Phone: (301) 903-4602.

IM Strategic Plan Schedule

	FY 2004	FY 2005	FY 2006	FY 2007	FY 2008
Infrastructure	<div>SQL Server (R)MS Exchange (R)Baseline Management</div> <div>Operations and Maintenance</div> <div>Maintains and operates the IM Infrastructure that includes over 40 servers. Operations and Maintenance projects are displayed in the fiscal years for which they are planned.</div>				
	<div>RIMS</div> <div>Materials ExchangePATS/IPASBIR/STTRLAS</div> <div>Systems Maintenance and Support</div> <div>Maintains approximately 30 legacy systems.</div>				
	<div>Hardware Maintenance</div> <div>Maintains all standard workstations, printers, fax machines, and scanners provided to approximately 400 customers.</div>				
	<div>Standard Suite of Software</div> <div>Maintains and provides licenses for more than 60 software packages.</div>				
	<div>IM Implementation</div> <div>Provides for budget execution, contract management, project and service oversight, configuration management, tools, etc.</div>				
	<div>IM Planning</div> <div>Provides for IM Strategic and Operating Plans, IM Board and CIAG meetings and coordination, customer communications, service level descriptions, performance measures, etc.</div>				
	<div>Cyber Security</div> <div>Provides for development and implementation of SC HQ Computer Security Protection Plan.</div>				
	<div>Workstation Refresh</div> <div>Provides for a refresh (normally 33%) of the standard workstation given to all customers.</div>				
	<div>GB EthernetEIMMS.NETGB EthernetEIM</div> <div>Infrastructure Updates</div> <div>Provides for infrastructure upgrades to (1) accommodate the provision of new services, new applications and other new requirements, and (2) comply with Federal Regulations and any other external driver.</div>				
	<div>Portal Upgrade</div>				
	<div>SC Continuity of Operations Plan (COOP) Support</div> <div>Develops, implements, and maintains a plan in the event the SC HQ infrastructure sustains a disaster.</div>				
Services	<div>Support Center</div> <div>Provides helpdesk services for all IM services provided. Currently, the service handles over 1000 calls a month.</div>				
	<div>Deskside Support</div> <div>Provides hands-on problem resolution at the customer workstation for all IM services provided. Currently, the service handles over 500 visits a month.</div>				
	<div>Hardware and Software Review and Acquisition</div> <div>Provides funding, review, and acquisition in support of (1) ad hoc customer requests for hardware and software not provided as part of the standard suite of software, and (2) ad hoc customer support requests for small support efforts, such as macros.</div>				
	<div>Videoconferencing</div> <div>Provides videoconferencing support (maintenance and call set-up) to H207, G258, G436, E243, and 7B058.</div>				
	<div>Hardware Loaner Pool</div> <div>Provides and Manages a loaner pool that includes PDAs, laptops, mobile phones, wireless network routers and cards, LCD projectors, digital camera, CD burners, USB drives, and an Ethernet hub. Provides associated recurring charges and a limited refresh.</div>				
	<div>Flexiplace Support</div> <div>Provides a flexi-place configured workstation, associated maintenance, and on-site support for flexiplace customers. This service is charged back to programs in accordance with SC-60 procedures.</div>				
	<div>SC-1 Homepage Support and Redesign</div> <div>Provides maintenance and redesign support for SC-1 home page.</div>				

IM Strategic Plan Schedule

	FY 2004	FY 2005	FY 2006	FY 2007	FY 2008
Corporate System Development	<div>Procurement 2.0 (SC FAS)</div> <div>Tracks Grant Review and Approval Process</div> <div>Procurement 2.1</div> <div>Automates Selection Statements & Progress Reports</div> <div>Budget 1.1</div> <div>Track AFP Deltas</div>	<div>Budget 2.0</div> <div>Manage Budget Execution</div>	No Corporate System Development projects planned for this fiscal year	<div>Support Services 1.1</div> <div>Manage Concurrences</div>	No Corporate System Development projects planned for this fiscal year
Legacy System Retirements	No Legacy System Retirement projects planned for this fiscal year	No Legacy System retirement projects planned for this fiscal year	<div>FMIS</div> <div>Retires SC's Financial Management Information System</div>	No Legacy System Retirement projects planned for this fiscal year	No Legacy System retirement projects planned for this fiscal year
AD/OD Projects	No AD/OD projects planned for this fiscal year	No AD/OD projects planned for this fiscal year	No AD/OD projects planned for this fiscal year	No AD/OD projects planned for this fiscal year	<div>SC Homepage Support</div> <div>Implement a standard look and feel to the SC Program Office web pages</div>
SC-41 Projects	No SC-41 projects planned for this fiscal year	No SC-41 projects planned for this fiscal year	No SC-41 projects planned for this fiscal year	No SC-41 projects planned for this fiscal year	No SC-41 projects planned for this fiscal year
SC - 1 Projects	SC-41 will work with SC1 throughout FY04 to determine and implement SC1 IM needs on a priority basis.	To Be Determined	To Be Determined	To Be Determined	To Be Determined
OneSC Projects	<div>Quick-delivery solutions for senior management IM requirements in support of OneSC.</div> <div>Recommendations for short-and long-term integration of IM support at all SC sites as required to support OneSC.</div>	To Be Determined	To Be Determined	To Be Determined	To Be Determined

Note: Items in the Infrastructure and Services Project categories are guaranteed for delivery in the years identified within these assumed budgets because their costs are well defined. The items in the remaining categories are not guaranteed for delivery within the years identified because they are development efforts and their costs can only be estimated at this time. Each requires significant customer involvement during the year planned for delivery to detail scope and requirements, only after which costs can be well defined and a determination made as to whether sufficient funds are available.

SC HQ Fiscal Year 2004-2008

IM Strategic Plan 5-Year Cost Estimates (K)

IM Requirement	FY 2004	FY 2005	FY 2006	FY 2007	FY 2008
Infrastructure	\$5793	\$6377	\$5600	\$5600	\$5600
Operations and Maintenance	Also includes: • SQL Server (Rollover) • MS Exchange 2003 (Rollover)	Also includes: • Baseline Management			
Systems Maintenance and Support	Also includes: • RIMS	Also includes: • SBIR/STTR • PATS/IPA • LAS • Materials Exchange			
Hardware Maintenance					
Standard Suite of Software					
IM Implementation					
IM Planning					
Cyber Security					
Workstation Refresh					
Infrastructure Updates	• Gigabit Ethernet Backbone • EIM • MS.NET • Portal Upgrade	• Gigabit Ethernet Backbone • EIM			
SC Continuity of Operations Plan Support					
Services					
Support Center	\$352	\$352	\$352	\$352	\$352
Deskside Support	\$362	\$362	\$362	\$362	\$362
Hardware/Software Review and Acquisition (chargeback)	\$0	\$0	\$0	\$0	\$0
Videoconferencing	\$44	\$44	\$44	\$44	\$44
Hardware Loaner Pool	\$180	\$180	\$180	\$180	\$180
Flexiplace Workstations (chargeback)	\$0	\$0	\$0	\$0	\$0
SC-1 Homepage Support and Redesign	\$80	\$80	\$80	\$80	\$80
Corporate System Development					
Procurement 2.0 (SC-FAS) *	-				
Procurement 2.1	<\$250				
Budget 1.1	<\$250				
Budget 2.0		\$250-750			
Support Services 1.1				\$250-750	
Legacy System Retirement					
FMIS			\$250-750		

* This project assumes an additional estimated \$500,000 in funding.

SC HQ Fiscal Year 2004-2008

IM Strategic Plan 5-Year Cost Estimates (K)

IM Requirement	FY 2004	FY 2005	FY 2006	FY 2007	FY 2008
AD/OD Projects					
SC Homepage Support					\$250-750
SC-41 Projects					
SC-1 Projects					
One SC Projects					
Anticipated Budget (millions)	\$7.0	\$7.0	\$7.0	\$7.0	\$7.0

These estimates do not consider inflation or increasing information management costs. Costs are approximate for purposes of strategic planning. Actual costs are defined in the annual IM Operating Plan.

Infrastructure

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IM Strategic Plan Narratives

Operations and Maintenance

Maintains and operates the IM infrastructure, which includes 140 servers covering the Application Integration and Maintenance (AIM), Development, and Production environments. This also includes the following projects.

SQL Server Update (Rollover Project)

This project updates all current SC systems to SQL 2000, a relational database management and analysis solution that captures and analyzes critical SC business data.

Description	<ul style="list-style-type: none">• This project updates all of the current SC systems to SQL 2000 as outlined in the SQL Server Update Feasibility Assessment. SQL is a relational database management and analysis solution utilized to intelligently capture and analyze critical SC business data. The current infrastructure uses disparate versions of SQL as the database management tool for numerous SC applications. FMIS and RIMS are two examples of critical SC business applications that use older technology. Both applications are using SQL 6.5, which is no longer supported by Microsoft. Lack of vendor support on these critical business applications endangers these legacy systems. In addition to endangering FMIS and RIMS, Microsoft continues to update its SQL product, making the Update path more difficult.• Upgrading all of the current SC systems to SQL 2000 decreases the immediate risk to FMIS and RIMS and extends vendor support for the product. In addition, the Update allows SC-41 to take advantage of newer technology and a more robust database product. Although implementation requires coordination and rigorous testing of legacy applications, SC feasibility team members acknowledge that upgrading immediately is critical. Not only are the legacy applications at risk because of inadequate vendor support, they are also at risk due to retirement and/or relocation of subject matter experts (SME).
User Benefits	<ul style="list-style-type: none">• SC will develop new products using the latest technology.• Standardization of database technologies makes development and deployment easier.• Databases will be current and supported, decreasing risk to legacy systems.
Interdependencies	<p>Corporate Systems Development: Worksheet Exchange (WSX) receives information from FMIS, which is being Updated from SQL 6.5 to SQL 2000. As a result, WSX requires some changes.</p> <p>Legacy Systems :</p> <ul style="list-style-type: none">• FMIS and FMIS Sync are supported by SQL 6.5 databases that will be Updated to SQL 2000• RIMS, RIMS Sync, and RIMS Web are supported by SQL 6.5 databases that will be Updated to SQL 2000. <p>Technologies: SQL 6.5 and SQL 7.0 will be Updated to SQL 2000.</p>
President's Management Agenda Initiatives	<ul style="list-style-type: none">• Expanded Electronic Government<ul style="list-style-type: none">▪ Automate processes to reduce cost internally▪ Share information more quickly and conveniently▪ Create easy-to-find single points of access to government services

IM Strategic Plan Narratives

Microsoft Exchange 2003 Update (Rollover Project)

This project updates Microsoft (MS) Exchange in the SC environment. The Update to MS Exchange enhances the Outlook Web Access (OWA) performance and user experience; enhances the stability, reliability, and manageability of the mail system; and improves the performance and flexibility of email service.

Description	This project Updates Microsoft Exchange in the SC environment as outlined in the MS Exchange Feasibility Assessment. The Update to MS Exchange enhances the OWA performance and user experience; enhances the stability, reliability, and manageability of the mail system; and improves the performance and flexibility of email service.
User Benefits	<ul style="list-style-type: none">• Enhanced Outlook Web Access.• One unified system to handle SC messaging and calendaring system.• Increased email system performance
Interdependencies	Technologies: <ul style="list-style-type: none">• MS Exchange 5.5 will be replaced by Exchange 2003.• Current Blackberry version will be updated.• NT 4.0 servers will be replaced with Windows 2003 servers.• Outlook and OWA will be updated.
President's Management Agenda Initiatives	<ul style="list-style-type: none">• Expanded Electronic Government<ul style="list-style-type: none">▪ Automate processes to reduce cost internally▪ Share information more quickly and conveniently▪ Create easy-to-find single points of access to government services

IM Strategic Plan Narratives

Baseline Management Software Update

This project evaluates, purchases, and installs a tool for constructing and maintaining a baseline and for configuration management reporting and auditing. Additionally, a configuration management auditing process for using the baseline tool will be implemented.

Description	<ul style="list-style-type: none">• This project evaluates, purchases, and installs a tool/process for constructing and maintaining a baseline and for configuration management reporting and auditing. Additionally, a configuration management auditing process for using the baseline tool will be implemented. This project is based on the results of the Configuration Management Internal Baseline Tool Evaluation project.• The purpose of this project is as follows, in prioritized order: construct a production baseline; define and implement the procedures necessary to maintain the baseline; construct and maintain baselines for other SC Headquarters environments; and define and implement procedures to audit all environments to ensure the change control process is being followed, all environments are synchronized appropriately, and the SC asset inventory repository is accurate.• This project provides the ability to construct a picture of the infrastructure; deliver baseline documentation for disaster recovery and maintenance; audit infrastructure builds; aid in system re-creation, troubleshooting, and architecture validation; and aid in enforcing environment standardization.
User Benefits	<ul style="list-style-type: none">• Creates a formal record of the current infrastructure and configurations and the ability to deliver to a third party if requested.• System Recovery (disaster recovery).• Faster troubleshooting or construction of systems in all environments.• Architecture validation.• Environment standardization (where appropriate).• Baseline systems as they pass through the project lifecycle process.• Cost savings in the amount of time to generate and process internal configuration management items (an average of 15 per month ~ \$21,000 labor.)• Provides a more stable environment and faster troubleshooting and disaster recovery methods.
Interdependencies	<ul style="list-style-type: none">• The Cyber Security service has requirements for certain baseline services that must be incorporated into this project.• The SC Continuity of Operations Plan Support service has requirements for certain baseline services that must be incorporated into this project.
President's Management Agenda Initiatives	<ul style="list-style-type: none">• Expanded Electronic Government<ul style="list-style-type: none">▪ Automate processes to reduce cost internally▪ Share information more quickly and conveniently▪ Create easy-to-find single points of access to government services

IM Strategic Plan Narratives

Systems Maintenance and Support

Maintains approximately 30 legacy systems resulting in 36 enhancements per week on average. This also includes the following projects.

Research Information Management System (RIMS)

This project ensures the continued availability of RIMS functionality. RIMS allows laboratories and universities to enter abstracts online to facilitate research funding. The system utilizes outdated technologies and third party custom controls that put the system and the SC infrastructure at significant risk.

Description	<ul style="list-style-type: none">• RIMS is a system that allows laboratories and universities to enter abstracts online to facilitate research funding. It utilizes outdated technologies, including Visual Basic 4.0, Access 2.0, FoxPro, Crystal Reports 4.5, and third party custom controls, that put the RIMS system itself as well as the SC infrastructure at risk.• Retirement of this system will likely occur by updating the Abstract Tracking System (ATS) to include tracking by Work Elements; and updating the Procurement system (formerly called EWM) to manage selection statements and Approved Funding Program (AFPs) from Program Offices.• RIMS has the highest maintenance incidents per year of all legacy systems. Eliminating RIMS would free resources for maintenance of other systems .• RIMS has complications during user workstation image updates.• RIMS Synch and RIMS Web Pass are two legacy applications that will be rewritten or eliminated as part of this project.• Retiring RIMS eliminates the firewall hole for PI Progress Post, making the SC environment more secure.• RIMS uses a SQL component (DB-Library) that is not supported in post-SQL 2000 versions of SQL; moving to a post-SQL 2000 version will cause RIMS to be inoperable.
User Benefits	<ul style="list-style-type: none">• RIMS functionality continues. The application will be more stable and the risk of system failure eliminated.• Integrates SC-70 functionality into an SC corporate system.• Allows all Program Offices to manage AFPs and Selection Statements.
Interdependencies	<p>Corporate Systems Development:</p> <p>Replacement of this system will likely occur by updating ATS to include tracking by Work Elements, and updating the Procurement system (formerly called EWM) to manage selection statements and AFPs from Program Offices.</p> <p>Legacy Systems :</p> <p>RIMS Synch and RIMS Web Pass are two applications that will be replaced as part of this project.</p> <p>Technologies:</p> <p>RIMS uses unsupported technologies, including Visual Basic 4.0, Access 2.0, FoxPro, Crystal Reports 4.5 and third party custom controls that should be eliminated in order to minimize risk and maintain a current infrastructure.</p>

IM Strategic Plan Narratives

President's Management Agenda Initiatives	<ul style="list-style-type: none">• Expanded Electronic Government<ul style="list-style-type: none">▪ Automate processes to reduce cost internally▪ Share information more quickly and conveniently▪ Create easy-to-find single points of access to government services
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IM Strategic Plan Narratives

Materials Exchange System

This project ensures the continued availability of Materials Exchange System functionality. Materials Exchange provides a web site to track materials that are no longer needed by laboratories. Making these materials available to other laboratories has proven to greatly reduce the cost of purchasing new materials. This system uses unsupported technologies that leave the infrastructure vulnerable to failure. The system must also comply with cyber-security requirements.

Description	<ul style="list-style-type: none">• Materials Exchange provides a web site that tracks materials that were used in the various laboratories that are no longer needed. Making these materials available to other labs has proven to greatly reduce the cost of purchasing new materials.• This system uses unsupported technologies, including NT 4.0, Access 97, and IIS 4.0 technologies, which leave the SC infrastructure vulnerable to failure.• This system must be re-written due to cyber security requirements. This server is in the DMZ, and an Update to Windows 2000, SQL 2000, and IIS 5.0 makes this system more secure.• Complications occur during user workstation image updates.
User Benefits	A database that can be queried will be created.
Interdependencies	Technologies: NT 4.0, Access 97, and IIS 4.0 are unsupported technologies used by this system that need to be eliminated from the environment.
President's Management Agenda Initiatives	<ul style="list-style-type: none">• Expanded Electronic Government<ul style="list-style-type: none">▪ Automate processes to reduce cost internally▪ Share information more quickly and conveniently▪ Create easy-to-find single points of access to government services

IM Strategic Plan Narratives

Personnel Action Tracking System (PATs)/Interpersonal Agency (IPA)

This project ensures the continued availability of PATs functions. PATs tracks personnel promotions and assignments for SC. The project also ensures the continued availability of IPA system functions. IPA is used to track information similar to the PATs system for personnel from other Agencies offering temporary services to SC. These systems use unsupported technologies that leave the SC infrastructure vulnerable to failure.

Description	<ul style="list-style-type: none">• PATs is used by SC to track personnel promotions and assignments. This system is fed weekly from the Corporate Human Resources Information System (CHRIS). It pulls out the pertinent data for SC, performs data conversion, and imports the new data into PATs. Additionally, PATs generates the necessary Human Resources (HR) forms.• IPA is used to track information similar to the PATs system for personnel from other Agencies offering temporary services to SC.• PATs uses unsupported technologies, including FoxPro, Access 2.0, Access 97, Clipper 5.0, and Crystal Reports 4.5, which leave the SC infrastructure vulnerable to failure.• IPA uses unsupported technologies, including Access 97, DOS, and Crystal Reports 4.5, which leave the SC infrastructure vulnerable to failure.• PATs has complications during user workstation image updates.• PATs is difficult to maintain and to debug, requiring high maintenance costs.• The PATs overnight feed fails weekly.
User Benefits	PATs/IPA functionality continues. The applications will be more stable and the risk of system failure eliminated.
Interdependencies	Legacy Systems: <ul style="list-style-type: none">• PATs Overnight is an application that will be rewritten as part of this project. Technologies: <ul style="list-style-type: none">• PATs uses unsupported technologies, including FoxPro, Access 2.0, Access 97, Clipper 5.0, and Crystal Reports 4.5 that should be retired.• IPA uses unsupported technologies, including Access 97, DOS, and Crystal Reports 4.5, which leave the SC infrastructure vulnerable to failure.
President's Management Agenda Initiatives	<ul style="list-style-type: none">• Expanded Electronic Government<ul style="list-style-type: none">▪ Automate processes to reduce cost internally▪ Share information more quickly and conveniently▪ Create easy-to-find single points of access to government services

IM Strategic Plan Narratives

Lab Appraisal System (LAS)

The project ensures the continued availability of Lab Appraisal System functionality. LAS tracks laboratory evaluations from field offices. These evaluations are used to help in funding decisions for laboratories. The system uses unsupported technologies that leave the SC infrastructure vulnerable to failure.

Description	<ul style="list-style-type: none">• LAS is used to track laboratory evaluations from the field offices. Independent analysts are sent to the field and rate the performance of the various labs on a scale of 1-4. These evaluations are used to help in funding decisions for labs.• This system uses unsupported technologies, including Visual Basic 4.0, Access 97, FoxPro, Crystal Reports 4.5, and DOS, which leave the SC infrastructure vulnerable to failure.• Non-standard database programming makes this system difficult to maintain.• Problems occur during user workstation image updates.
User Benefits	<ul style="list-style-type: none">• LAS functionality continues. The application will be more stable and the risk of system failure eliminated.• Provides ability to track appraisal values and results.
Interdependencies	<p>Corporate Systems Development:</p> <ul style="list-style-type: none">• LAS may share similar business process as the Budget (formerly called Budget Formulation and Budget Execution) package or ATS. <p>Legacy Systems:</p> <ul style="list-style-type: none">• LAS takes data from FMIS. <p>Technologies:</p> <p>LAS uses unsupported technologies, including Visual Basic 4.0, Access 97, FoxPro, Crystal Reports 4.5, and DOS, that should be eliminated in order to minimize risk and maintain a current infrastructure.</p>
President's Management Agenda Initiatives	<ul style="list-style-type: none">• Expanded Electronic Government<ul style="list-style-type: none">▪ Automate processes to reduce cost internally▪ Share information more quickly and conveniently▪ Create easy-to-find single points of access to government services

IM Strategic Plan Narratives

Small Business Innovative Research (SBIR)/Small Technology Transfer Research (STTR) and SBIRMail

This project ensures the continued availability of SBIR and STTR functions. These systems are used to track proposal information submitted by small businesses in responses to the annual DOE SBIR/STTR solicitation. SBIR and STTR use unsupported technology that leaves the SC infrastructure vulnerable to failure. Functionality of these systems will be incorporated into Procurement (formerly called EWM) as part of this project.

Description	<ul style="list-style-type: none">• SBIR is used to track proposal information submitted by small businesses that DOE is supporting. This functionality will be incorporated into Procurement (formerly called EWM) as part of this project.• STTR is maintained in parallel to track separate types of contracts. This functionality will be incorporated into Procurement (formerly called EWM) as part of this project• This system uses unsupported FoxPro technology that prevents the SC infrastructure from moving forward and leaves the system vulnerable to failure.• The system is written using a nonstandard method and is difficult to maintain. No skill sets are available to continue support if the current resource becomes unavailable.• Problems occur during user workstation image updates.• This system is considered a high-risk system because it is difficult to maintain and only one Maintenance resource has the historical knowledge and appropriate skills necessary to maintain this antiquated technology.
User Benefits	<ul style="list-style-type: none">• SBIR/STTR functionality continues. The application will be more stable and the risk of system failure eliminated.• The semi-manual synchronization process to Procurement (EWM) for award is eliminated.• Nightly synchronization with Procurement (EWM) is eliminated.
Interdependencies	<p>Corporate Systems Development: The majority of the data elements required already exist within the Procurement (EWM) system.</p> <p>Technologies: FoxPro, FoxFire, Visual Basic 4.0, and DOS are unsupported technologies used by SBIR, SBIRMail, and STTR that need to be eliminated from the environment.</p>
President's Management Agenda Initiatives	<ul style="list-style-type: none">• Expanded Electronic Government<ul style="list-style-type: none">▪ Automate processes to reduce cost internally▪ Share information more quickly and conveniently▪ Create easy-to-find single points of access to government services

IM Strategic Plan Narratives

Hardware Maintenance

Maintains all standard workstations, notebooks, printers, fax machines, and scanners provided to approximately 400 customers.

Standard Suite of Software

Maintains and provides licenses for more than 60 software packages comprising the standard suite of software available to all customers as needed to meet business requirements.

IM Implementation

Provides for budget execution, contract management, project and service oversight, configuration management, tools, etc, all of which are needed to manage the SC Headquarters information technology program.

IM Planning

Provides for IM Strategic and Operating Plans, IM Board and Customer Information Advisory Group (CIAG) meetings and coordination, customer communications, service level descriptions, performance measures, and SC-41 process analysis and improvement, etc.

Cyber Security

Provides a comprehensive Cyber Security program that protects the electronic information assets, automated systems and operations of the SC HQ- Metropolitan Area Network (MAN) and supports the business of the Office of Science Headquarters. This program includes the following.

- Develop the SC Headquarters Computer Security Protection Plan (CSPP).
- Maintain and implement the SC HQ CSPP to mitigate all areas identified in both the internal and external risk assessments conducted by SC, Office of Inspector General (IG), and the OCIO.
- Provide backups of all SC HQ - MAN cyber assets that ensure recoverability in accordance with SC HQ business requirements.
- Maintain and operate antivirus software.
- Maintain and implement cyber security policies associated with disaster recovery solutions (including routine practice drills).
- Develop and institute policies that define end user responsibilities related to remote access, IM assets, data ownership, and personal digital assistant (PDA) security.
- Respond to Federal, Departmental and SC enterprise reporting requirements related to cyber security for SC HQ.

Workstation Refresh

Provides for a refresh (normally 33 percent) of the standard workstation given to all customers.

IM Strategic Plan Narratives

Infrastructure Updates

Provides for infrastructure Updates to (1) accommodate the provision of new services, new applications, and other new requirements, and (2) comply with Federal regulations, the DOE CIO, and any other external drivers. Update projects planned for FY 2004 include the following.

Gigabit Ethernet for Backbone Network Connectivity

This project Updates the SC Asynchronous Transfer Mode (ATM) backbone that connects SC users and systems in Germantown and Forrestal and connects SC to the Office of the Chief Information Officer network infrastructure.

Description	<ul style="list-style-type: none">• This project Updates the SC ATM network to a Gigabit Ethernet network. The SC ATM backbone is the network that connects all SC users and systems in Germantown and Forrestal. Additionally, the ATM backbone connects SC to the Office of the Chief Information Officer (OCIO) network infrastructure. All servers, workstations, and business applications in SC are supported by the SC ATM network.• The ATM technology in use by SC is no longer supported by the manufacturer of the network devices. This puts all business applications at risk of being unavailable to users if the ATM network fails. If this failure were to occur, the costs of the outage and its repair could be significant.
User Benefits	Replacing the current legacy ATM backbone with Gigabit Ethernet increases network bandwidth and application performance, provides easier manageability, makes monitoring and troubleshooting easier, and conforms to OCIO initiatives.
Interdependencies	<p>Services:</p> <ul style="list-style-type: none">• The Gigabit Ethernet project increases disaster recovery efficiency.• Intrusion Detection capabilities, which fall under the Cyber Security Service, can be procured and implemented as part of this project. <p>Corporate Systems Development:</p> <p>All business systems ride on this backbone and all should see an increase in performance.</p> <p>Technologies:</p> <ul style="list-style-type: none">• ATM network will be retired.• Performance Monitoring and Intrusion Detection technologies may be procured.
President's Management Agenda Initiatives	<ul style="list-style-type: none">• Expanded Electronic Government<ul style="list-style-type: none">▪ Automate processes to reduce cost internally▪ Share information more quickly and conveniently▪ Create easy-to-find single points of access to government services

IM Strategic Plan Narratives

MS.NET Implementation

This project provides for the deployment of Microsoft .NET into the Office of Science information management environment. Implementing MS.NET requires two separate efforts; creating a production environment that allows corporate system development to utilize the enhanced MS.NET features, and creating a Windows .NET 2003 server infrastructure.

Description	<ul style="list-style-type: none">• This project as outlined in the FY 2003 feasibility assessment provides the deployment of Microsoft .NET into the Office of Science environment.• Implementing MS.NET requires two separate efforts. The first effort is to create a production environment that allows corporate system development to utilize the enhanced MS.NET features. The second effort is to create a Windows .NET 2003 server infrastructure.• Windows Server 2003 enables the organization to experience the benefits of MS.NET. All newly developed applications will better meet business user needs while enhancing user experience. Windows Server 2003 is easier to deploy, manage, and use than Server 2000.• Improved Active Directory makes information easier for users and administrators to find by providing a logical hierarchical organization of network resources. Crystal Reports 7.0 needs to be updated at this time as well.
User Benefits	<ul style="list-style-type: none">• Increased performance of SC corporate applications.• Enhanced page refresh speed.• Improved user interface functionality.• Improved data retrieval performance.
Interdependencies	<p>Infrastructure Projects:</p> <ul style="list-style-type: none">• Active Directory servers should migrate to .NET server before other .NET servers are introduced to the environment.• IMSC servers should move to SQL 2000 or later to be .NET compatible. <p>Technologies:</p> <ul style="list-style-type: none">• Crystal Reports 7.0 will be updated to the latest version of Crystal Reports. (.NET compliant)• Certain Windows 2000 servers will be updated to Windows 2003 Server. All newly deployed servers should be Windows 2003 servers as well.• .NET Advanced Server Pages (ASP), VB.NET, and C# will be introduced.
President's Management Agenda Initiatives	<ul style="list-style-type: none">• Expanded Electronic Government<ul style="list-style-type: none">▪ Automate processes to reduce cost internally▪ Share information more quickly and conveniently▪ Create easy-to-find single points of access to government services

IM Strategic Plan Narratives

Portal Update

This project updates the SC intranet portal (SCIP), which is planned to be the central access point for all web-based business applications and is a key element to all development efforts. The portal currently uses Plumtree software that runs on the unsupported NT 4.0 server. The Plumtree software needs to be updated, or new portal software implemented, or the portal should be transferred to MS SharePoint.

Description	<ul style="list-style-type: none">• SCIP currently runs on Plumtree 4.0. This version is not compatible with Windows 2000 and Active Directory (AD). The portal is planned to be the central access point for all web-based business applications. The Plumtree software needs to be updated, or new portal software implemented, or the portal should be transferred to MS SharePoint, portal software that is already part of the architecture.• The portal, a key element to all development efforts, runs on the unsupported NT 4.0 server. This project has a significant impact on the current Windows 2000 architecture standard, MS.NET Project, and the SQL Server project.
User Benefits	<ul style="list-style-type: none">• Provides user-customizable interface.• Provides single login and central point of access for all business applications.• Centralizes all SC business processing.
Interdependencies	<p>Infrastructure Projects:</p> <ul style="list-style-type: none">• Moving the portal server (SCIP) to Active Directory and SQL 2000 and Windows .NET 2003 server cannot happen until the portal is Updated. Currently, the task of migrating the portal servers to AD has been removed from the AD project and moved to the SQL Server project with the expectation that the Portal Update project will occur prior to the implementation phase of the SQL Server project.• The Remote Access Project will most likely use the portal to access business systems such as Research Information Management System (RIMS) and Financial Management Information System (FMIS) via the web. <p>Corporate Systems Development:</p> <p>The portal is the expected access point for all business systems currently in production, development, and the Strategic Plan.</p> <p>Technologies:</p> <ul style="list-style-type: none">• Windows 2000 has not been installed on the portal servers due to Plumtree's incompatibility with Windows 2000.• Plumtree 4.0 must be retired.• SharePoint 1.0 is another portal software package that is currently available; however, it may not meet all the requirements necessary of the portal.
President's Management Agenda Initiatives	<ul style="list-style-type: none">• Expanded Electronic Government<ul style="list-style-type: none">▪ Automate processes to reduce cost internally▪ Share information more quickly and conveniently▪ Create easy-to-find single points of access to government services

IM Strategic Plan Narratives

Electronic Information Management (EIM) Implementation

This project continues the implementation of a document management technology to organize, store, and maintain SC data (e.g., documents, correspondence, and information).

Description	A document management technology must be implemented to organize, store and maintain SC data (e.g., documents, correspondence, and information). Currently, an EIM solution has been implemented in SC-41 as a pilot. Plumtree, utilized as a portal, may also offer an appropriate SCwide document management solution. Document management requirements for all of SC must be reassessed to include infrastructure and software development needs, training, and implementation of SC program office data.
User Benefits	Provides improved ability to organize, track, and manage important SC data.
Interdependencies	Infrastructure Projects: The document management solution may share similar requirements and use the same software as the Portal Update project. Technologies: <ul style="list-style-type: none">• SharePoint is a possible EIM solution.• Plumtree is a possible EIM solution.
President's Management Agenda Initiatives	<ul style="list-style-type: none">• Expanded Electronic Government<ul style="list-style-type: none">▪ Automate processes to reduce cost internally▪ Share information more quickly and conveniently▪ Create easy-to-find single points of access to government services

SC Continuity of Operations Plan Support

Develops, implements, and maintains a plan in the event the SC Headquarters infrastructure sustains a disaster.

Services

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IM Strategic Plan Narratives

These projects support the following President's Management Agenda Initiatives.

- **Expanded Electronic Government**
 - Automate processes to reduce cost internally
 - Share information more quickly and conveniently
 - Create easy-to-find single points of access internally

Support Center

Provides helpdesk services for all information management services provided. Currently, this service handles over 1,000 calls per month.

Deskside Support

Provides hands-on problem resolution at the customer workstation for all information management services provided. Currently, this service handles over 500 visits per month. This service also provides executive support to the SC Front Office, including one-on-one advice and assistance regarding all information technology products and services from a Front Office perspective.

Hardware/Software Review and Acquisition

Provides for the funding, review, and acquisition in support of ad-hoc customer requests for hardware and software not provided as part of the standard workstation or standard suite of software and ad-hoc customer requests for small support efforts, such as development of a macro. This service is charged back to the requesting organization in accordance with SC-60 procedures.

Videoconferencing

Provides videoconferencing support (maintenance and call setup) to videoconferencing rooms H207, G258, G436, E243, and 7B058.

Hardware Loaner Pool

The service supports the loaner pool, which includes Blackberry wireless devices (data & voice), laptops, tabletPc's, mobile phones, pagers, LCD projectors, Ethernet hub, (i.e., portable networking equipment, including a printer, for use within and outside of DOE), wireless router, digital camera, PCMCIA-based wireless network cards, USB pen and Zip devices. This service currently supports over 700 requests per year. It also provides for the recurring charges associated with Blackberry, mobile phone, and pager usage and provides for limited refresh of the loaner pool.

Flexiplace Support

Provides a flexiplace configured workstation, associated maintenance, and on-site support for flexiplace customers. Currently, this service supports four customers. This service is charged back to the requesting organization in accordance with SC-60 procedures.

SC-1 Homepage Support and Redesign

Provides maintenance and redesign support to the SC-1 homepage.

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Corporate System Development

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Description

Supports the process of parsing and storing proposal data submitted by grantees and sending approved grants to the Chicago Operations Office for final review and approval.

Prerequisites

None

Dependents

None

Related Business Activities[†]

- **Issue Solicitation**
 - Issue Annual 605 Solicitation Notice
 - Issue 605 Solicitation Notice
 - Issue Contract Solicitation
 - Issue 600 Solicitation
- **Receive Proposal**
 - Manage Proposal Types
 - Review Proposals
 - Select Proposals
- **Authorize Work**
 - Establish/Confirm Availability of Funds
 - Prepare Work Authorization Package
 - Prepare Procurement Request Package

Associated Data Entities

- **Proposal**
 - Proposal Notes
 - Proposal PI
 - Proposal Status
 - Proposal Type
 - Reviewer History
- **Work Authorization**
 - Appropriate Symbol
 - Award Type
 - BR Code
 - Institution
 - Person
 - PR Form
 - PR Form Budget
 - PR Notes
 - Work Authorization
- **Solicitation**
 - Person
 - Solicitation

Associated Technologies

- EIM

Associated Legacy Systems

None

President's Management Agenda Initiatives

- **Improved Financial Performance**
 - Delivers more timely delivery of financial data
- **Expanded Electronic Government**
 - Automate processes to reduce cost internally
 - Share information more quickly and conveniently

^{*} Financial Assistance System

[†] See appendix A for complete SC HQ business activity descriptions.

Description

Implement critical procurement functionality (Award Justification and Progress Narrative) currently performed by RIMS.

Prerequisites

None

Dependents

- Budget Package 2.0
- Budget Package 2.1
- Procurement 3.0
- Procurement Package 4.0
- Procurement Package 4.1

Related Business Activities*

- Receive Proposal
 - Select Proposals

Associated Data Entities

- Award

Associated Technologies

- RIMS

Associated Legacy Systems

- RIMS – Research Information Management System

President's Management Agenda Initiatives

- Improved Financial Performance
 - Eliminates legacy systems
 - Delivers more timely delivery of financial data
- Expanded Electronic Government
 - Automate processes to reduce cost internally
 - Share information more quickly and conveniently

* See appendix A for complete SC HQ business activity descriptions.

Description

Implement critical budget functionality currently (changes to AFP amounts, and associated comments) performed by RIMS.

Prerequisites

- None

Dependents

- Budget Package 2.0
- Budget Package 2.1

Related Business Activities*

- **Collect Budget Input**
 - Collect Program Office Budget Information
 - Review "Continued" Work
 - Identify New Initiatives

Associated Data Entities

- AFP

Associated Technologies

- EIM

Associated Legacy Systems

- None

* See appendix A for complete SC HQ business activity descriptions.

Description

Supports the SC Headquarters budget execution process by maintaining budget summary information and linkage to budget formulation information where associations are relevant. Also provides capabilities that support the SC Headquarters budget execution decision-making process. The Joint Application Development/Rapid Application development (i.e., JAD/RAD) participants for this development effort determine whether and how this version should be phased.

Prerequisites

- Procurement Package 3.0

Dependents

- Budget Package 2.1

Related Business Activities*

- **Collect Budget Input**
 - Collect Program Office Budget Information
 - Review "Continued" Work
 - Identify New Initiatives
- **Determine Funding Targets**
 - Review Funding Targets
 - Evaluate Funding Target for New Initiatives
 - Determine Funding Target for New Initiatives
 - Develop Funding Target for the Non-project Components
- **Justify Funding Distributions**
 - Prepare Justification for Continued Work
 - Prepare Justification Material for New Initiatives
 - Prepare Supplemental Material
- **Prepare Budget Request**
 - Obtain SC-1 Approval
 - Prepare the Budget in the Required Format
 - Approve Budget Request
- **Resolve Competing Programmatic Priorities**
 - Review Program Funding Profiles
 - Review Project Funding Profiles

Associated Data Entities

- **AFP**
 - AFP Budget
 - AFP Funding Source
 - BR Code
 - Proposal
 - Work Element
- **Budget Request**
 - Control
 - FTE
 - Goal Evaluation
 - Institution Details
 - Organization
 - Person
 - Planning Estimate
 - Project
 - Sharing
 - Work Element Notice
 - Work Element Results

Associated Technologies

- EIM
- LAS

Associated Legacy Systems

- DOE-ES&HMP – Environmental Safety and Health (ES&H) Management & Infrastructure Plan
- DOE-FDS – Funds Distribution System
- DOE-FINWAREHOUSE – Financial Data Warehouse
- SC222RWBUDGET – HEPBUD
- FMIS – Financial Management Information System
- SC222HEPBUDGET – High Energy Physics Budget History
- SC224HEPWAT – HEP Wash. Admin. Technology R&D Subprogram Plan 1997
- SC22UPROG\$ – SC-222 University Program Funding
- SC31AMISCFORM – ER31\BUDGET\MICS\AMICFORM
- SC32LTRBUDGET – Laboratory Technology

* See appendix A for complete SC HQ business activity descriptions.

IM Strategic Plan Narratives

- Research (LTR) Program Project
- SC52BUDGET – SC-52 Budget System
- SC63BUDGET – SC-63 Budget Spreadsheets
- SC70BUDGET – BER Budget Spreadsheet
- SC72CORE – CORE.XL
- SC74ESDBUDGET – Environment Sciences Division (ESD) Budget Tables
- SC8CONTRACT – SC-8 Contractor Expenditure Tracking System
- SC222RW BUDGETPLN – Budget Spreadsheet for High Energy Physics
- SC55BUDGET – Fusion Budget Summary
- WSX 1.0

President’s Management Agenda Initiatives

- **Improved Financial Performance**
 - Re-engineering reporting process
 - Expand web-based technologies
 - Timely performance measurement information
 - More useful operational and investing data
 - Ensure consistent and comparable trend analysis
- **Expanded Electronic Government**
 - Automate processes to reduce cost internally
 - Share information more quickly and conveniently

Description

Supports SC Headquarters responsibilities by managing the SC concurrence process and procedures.

Prerequisites

- None

Dependents

- Direction & Promotion Package 2.0
- Direction & Promotion Package 3.0
- Direction & Promotion Package 4.0
- Human Resources Package 1.0
- Human Resources Package 2.0
- Reference Package 2.0
- Support Services Package 2.0
- Support Services Package 3.0

Related Business Activities*

- **Records Management**
 - Manage Document Preparation & Distribution
 - Manage the Concurrence Process
 - Manage Records
- **Operational Planning**
 - Set Operational Guidelines

Associated Data Entities

- To be determined

Associated Technologies

- EIM

Associated Legacy Systems

- ACTION – Action Tracker for ER-621
- KEYWORD – Keyword System
- ROUTSLIP – Routing Cover Memo
- SAM – System for Action Management

President's Management Agenda Initiatives

- **Expanded Electronic Government**
 - Automate processes to reduce cost internally
 - Share information more quickly and conveniently
 - Eliminate legacy systems
- **Strategic Management of Human Capital**
 - Adds workforce efficiency

* See appendix A for complete SC HQ business activity descriptions.

Legacy System Retirement

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IM Strategic Plan Narratives

The following project retires a legacy system that has a high risk of downtime or failure and increased maintenance costs. It was given a high priority by the Executive Steering Committee during FY 2002. This project supports the following President's Management Agenda Initiatives.

- **Improved Financial Performance**
 - Provide timely performance measurement information
 - Provide more useful operational and financial data
 - Ensure consistent and comparable trend analysis
 - Deliver more timely delivery of financial data
- **Expanded Electronic Government**
 - Automate processes to reduce cost internally
 - Share information more quickly and conveniently

Financial Management Information System (FMIS)

Enhances or replaces FMIS, which enables the entry and tracking of financial management data and information in an efficient manner to fulfill SC budget formulation and execution responsibilities and aid in management of SC programs. FMIS also provides a suite of tools that access background corporate data for data manipulation and presentation.

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AD/OD Projects

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IM Strategic Plan Narratives

The following IM project resulted from SC-41 interviews with Associate Directors/Office Directors (AD/ODs) during FY 2002. This project supports the following President's Management Agenda Initiatives.

- **Improved Financial Performance**
 - Eliminates legacy systems
 - Delivers more timely delivery of financial data
- **Expanded Electronic Government**
 - Automate processes to reduce cost internally
 - Share information more quickly and conveniently
 - Simplify interaction between government and citizens
 - Create easy-to-find single points of access to government services

SC Homepage Support

Implements a standard look and feel to the SC program office web pages and reviews the potential for a single maintenance/update process for the entire Office of Science.

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SC-41 Projects

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IM Strategic Plan Narratives

There are no SC-41 projects planned for fiscal years 2004 through 2008.

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SC-1 Projects

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IM Strategic Plan Narratives

SC-41 will work with SC-1 to determine and implement SC-1 information management needs on a priority basis.

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OneSC Projects

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IM Strategic Plan Narratives

Projects to be determined and include quick delivery solutions for senior management IM requirements in support of OneSC. In addition, includes recommendations for short-and long-term integration of IM support at all SC sites as required to support OneSC.

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Post 5-Year Plan IM Projects

Prioritized Post-Five Year IM Requirements

Based on ESC prioritization and anticipated budgets, some IM requirements are planned for FY 2009 and beyond. These requirements and their respective IM categories are listed below in the priority given by the ESC during FY 2002. The following section of the Plan contains descriptions of these IM requirements.

IM Requirement	IM Category
Intranet 2.0	Corporate System Development
Direction & Promotion 1.0	Corporate System Development
Support Services Package 2.0	Corporate System Development
Reference Package 1.1	Corporate System Development
Procurement 3.0	Corporate System Development
Procurement 4.0	Corporate System Development
Procurement 4.1	Corporate System Development
Direction & Promotion 2.0	Corporate System Development
Budget 2.1	Corporate System Development
Intranet 3.0	Corporate System Development
Direction & Promotion 3.0	Corporate System Development
SC Electronic Mail Address Augmentation	SC-1 Projects
Electronic Access to Research Project Data	AD/OD Projects
Videoconference Room Upgrade	AD/OD Projects
Enhanced Electronic Communications Tools	AD/OD Projects
Performance Measure and Process Engineering	SC-41 Projects
Microsoft Corporate Update	SC-41 Projects
Network Baselining and Inventory Control Tool	SC-41 Projects
Load Testing Tool	SC-41 Projects
Requirements Management Tool	SC-41 Projects
Human Resources 1.0	Corporate System Development
Direction & Promotion 4.0	Corporate System Development
Human Resources 2.0	Corporate System Development
Offline/Near-line Storage	SC-41 Projects
Reference 2.0	Corporate System Development
Electronic Access To Institutional Plan Data	AD/OD Projects
Support Services 3.0	Corporate System Development
Science And Technology Search Capability	AD/OD Projects
Work For Others System	AD/OD Projects

Post 5-Year Plan IM Projects

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Post 5-Year Plan IM Projects – Corporate System Development

Intranet Package

Version 2.0

Description

Provides each user a personalized web-based portal (i.e., a window or view) of the SC corporate information needed to perform their assigned duties. Also provides easy access across all SC locations to SC corporate information using a secure SC Intranet web interface.

Prerequisites

- None

Dependents

- Intranet Package 3.0

Related Business Activities*

- Access to all business activities through infrastructure and access methodology

Associated Data Entities

- Supports all business entities

Associated Technologies

- EIM

Associated Legacy Systems

- DOE-ESS – DOE Employee Self Service
- DOE-HELPDESK – APPLIX Enterprise (Helpdesk)
- DOE-ONLINE LOCATOR – Call up
- DOE-OPENINFO – OpenInfo
- DOE-POPLIST – DOE Phone List (POPLIST)
- PHONE-SC – SC Phone Listing
- SC55HOMEPG – Office of Fusion Energy Science
- SC70CONTACT – Contact Database
- SC72HSRD – Human Subjects Research Database
- SC74HPAL – ESD Contact Management

President's Management Agenda Initiatives

- **Expanded Electronic Government**
 - Automate processes to reduce cost internally
 - Share information more quickly and conveniently
 - Eliminate legacy systems
 - Create easy-to-find single points of access to government services
- **Strategic Management of Human Capital**
 - Reduce number of managers
 - Reduce number of organizational layers
 - Reduce decision-making time
 - Increase number of employees providing services to citizens
 - Generate, capture, disseminate organization mission information

* See appendix A for complete SC HQ business activity descriptions.

Post 5-Year Plan IM Projects – Corporate System Development

Direction & Promotion

Version 1.0

Description

Supports the establishment of SC research direction by recording information on scientific opportunities and programs .

Prerequisites

- None

Dependents

- Human Resources Package 1.0
- Human Resources Package 2.0
- Direction & Promotion Package 2.0
- Direction & Promotion Package 3.0
- Direction & Promotion Package 4.0
- Reference Package 2.0

Related Business Activities*

- **Operational Planning**
 - Establish Strategic Plan
 - Identify Areas for Research Programs

Associated Data Entities

- **Person**
 - Institution
 - Organization
 - Person Contact
 - Person Status
- **Program Area**
 - Crosscut
 - Crosscut Association
 - Crosscut Category
 - Field of Science
 - Funding Type
 - Research Area
 - Research Area Crosscut
 - Research Area Organizations
 - Research Area Parents
 - Research Area Status
 - Research Area Work Element
 - Research Type

Associated Technologies

- EIM

Associated Legacy Systems

- None

President's Management Agenda Initiatives

- **Expanded Electronic Government**
 - Automate processes to reduce cost internally
 - Share information more quickly and conveniently

* See appendix A for complete SC HQ business activity descriptions.

Post 5-Year Plan IM Projects – Corporate System Development

Support Services Package

Version 2.0

Description

Supports SC Headquarters support service responsibilities by providing for the storage and retrieval of documents and recording contact information.

Prerequisites

- Support Services Package 1.1

Dependents

- Support Services Package 3.0
- Human Resources Package 1.0
- Human Resources Package 2.0
- Direction & Promotion Package 2.0
- Direction & Promotion Package 3.0
- Direction & Promotion Package 4.0
- Reference Package 2.0

Related Business Activities*

- **Records Management**
 - Manage Document Preparation and Distribution
 - Log Communications
 - Manage Records

Associated Data Entities

- To be determined

Associated Technologies

- None

Associated Legacy Systems

- DOCLOG – Document Logging System
- DOE-ESDOCS – Executive Secretary Document Online Coordination System

President's Management Agenda Initiatives

- **Expanded Electronic Government**
 - Automate processes to reduce cost internally
 - Share information more quickly and conveniently
 - Eliminate legacy systems
 - Streamline management and accessibility of departmental records
- **Strategic Management of Human Capital**
 - Adds workforce efficiency

* See appendix A for complete SC HQ business activity descriptions.

Post 5-Year Plan IM Projects – Corporate System Development

Reference Package

Version 1.1

Description

Supports all SC Headquarters business activities by maintaining guidance and regulatory information.

Prerequisites

- None

Dependents

- Human Resources Package 1.0
- Human Resources Package 2.0
- Direction & Promotion Package 2.0
- Direction & Promotion Package 3.0
- Direction & Promotion Package 4.0
- Reference Package 2.0

Related Business Activities*

- Supports all business activities

Associated Data Entities

- Supports all data entities

Associated Technologies

- None

Associated Legacy Systems

- DOE-ADDs – Automated Departmental Directives System

President's Management Agenda Initiatives

- **Expanded Electronic Government**
 - Automate processes to reduce cost internally
 - Share information more quickly and conveniently
 - Eliminate legacy systems
 - Streamline management and accessibility to guidance and regulatory information
- **Strategic Management of Human Capital**
 - Adds workforce efficiency

* See appendix A for complete SC HQ business activity descriptions.

Post 5-Year Plan IM Projects – Corporate System Development

Procurement Package

Version 3.0

Description

Supports the SC Headquarters grants and Field Work Proposals (FWP) processes by organizing and tracking information about grants, proposals, and abstracts and by issuing and maintaining information on review and selection data based on grants and proposals.

Prerequisites

None

Dependents

- Procurement Package 4.0
- Procurement Package 4.1

Related Business Activities*

- **Receive Proposal**
 - Manage Proposal Types
 - Review Proposals
 - Select Proposals
- **Authorize Work**
 - Establish/Confirm Availability of Funds
 - Prepare Work Authorization Package
 - Prepare Procurement Request Package
- **Award Work**
 - Determine Award Type
 - Transmit to Operations Office of Science
 - Negotiate Agreement
 - Complete Work Authorization

Associated Data Entities

- **Proposal**
 - Proposal PI
 - Reviewer History
- **Work Authorization**
 - Appropriate Symbol
 - Award Type
 - BR Code
 - PR Form
 - PR Form Budget
 - Selection Statement
 - Work Authorization
- **Award**
 - Award Budget
 - Award PR Form
 - Award Mod
 - Award PI

Associated Technologies

- EIM
- SBIR
- RIMS

Associated Legacy Systems

- LAS – SC Laboratory Appraisal System
- RIMS – Research Information Management System
- ERA – Electronic Research Administration
- SBIR – Small Business Innovation Research System
- SC131GRANT – 2001GRANTS.XLS
- SC142GRANT – SC-142 Geosciences Database Grants and Budget System
- SC14ALDBBUDGET – Chemical Sciences Dbase Budget
- SC22CASRPT – Contract Action Status Report
- SC22PRDIST – SC 22 Physics Research Distribution
- SC22UCIP – University Contract Information Program (UCIP)
- SC74GCDB – Grants and Contracts Database
- STTR – Small Business Technology Transfer System

* See appendix A for complete SC HQ business activity descriptions.

Post 5-Year Plan IM Projects – Corporate System Development

President’s Management Agenda Initiatives

- **Improved Financial Performance**
 - Eliminates legacy systems
 - Delivers more timely delivery of financial data
- **Expanded Electronic Government**
 - Automate processes to reduce cost internally
 - Share information more quickly and conveniently

Post 5-Year Plan IM Projects – Corporate System Development

Procurement Package

Version 4.0

Description

Supports the SC Headquarters grants and Field Work Proposals processes by organizing and tracking information about grants, proposals, and abstracts and by issuing and maintaining information on review and selection data based on grants and proposals.

Prerequisites

- Procurement Package 3.0

Dependents

- Procurement Package 4.1

Related Business Activities*

- **Receive Proposal**
 - Manage Proposal Types
 - Review Proposals
 - Select Proposals

Associated Data Entities

- **Proposal**
 - Crosscut
 - Proposal Collaborations
 - Proposal Content
 - Proposal Crosscut
 - Proposal Financial
 - Proposal Notes
 - Proposal PI
 - Proposal Research Area
 - Proposal Status
 - Proposal Type
 - Research Area
 - Reviewer History
- **Selection Statement**
 - Award
 - Proposal
 - Selection Statement Budget
 - Selection Statement Checklist
 - Selection Statement Fields
 - Work Element

Associated Technologies

- EIM
- SBIR

Associated Legacy Systems

- LABELS – Label System
- SBIRMAIL – SBIR Mailing List
- SC22 CongRepForm– Congressional Report Form

President's Management Agenda Initiatives

- **Improved Financial Performance**
 - Eliminates legacy systems
 - Delivers more timely delivery of financial data
- **Expanded Electronic Government**
 - Automate processes to reduce cost internally
 - Share information more quickly and conveniently

* See appendix A for complete SC HQ business activity descriptions.

Post 5-Year Plan IM Projects – Corporate System Development

Procurement Package

Version 4.1

Description

Supports the SC Headquarters grants and FWP processes by tracking progress of SC funded work.

Prerequisites

- Procurement Package 3.0
- Procurement Package 4.0

Dependents

- None

Related Business Activities*

- **Oversee Work**
 - Review Progress and Final Report
 - Approve Final Report
 - Execute Other Oversight Actions

Associated Data Entities

- **Proposal**
 - Crosscut
 - Proposal Collaborations
 - Proposal Content
 - Proposal Crosscut
 - Proposal Notes
 - Proposal Research Area
 - Research Area
- **Programmatic Oversight**
 - Institution
 - Institution Details
 - Organization
 - Planning Estimate
 - Program Oversight Action
 - Project
 - Work Authorization

Associated Technologies

- EIM
- SBIR

Associated Legacy Systems

- None

President's Management Agenda Initiatives

- **Improved Financial Performance**
 - Eliminates legacy systems
 - Delivers more timely delivery of financial data
- **Expanded Electronic Government**
 - Automate processes to reduce cost internally
 - Share information more quickly and conveniently

Note: Could be element of Governmentwide initiatives for e-Procurement and e-Grants.

* See appendix A for complete SC HQ business activity descriptions.

Post 5-Year Plan IM Projects – Corporate System Development

Direction & Promotion

Version 2.0

Description

Supports management and response to queries submitted to SC Headquarters.

Prerequisites

- Direction & Promotion Package 1.0
- Support Services Package 1.1
- Support Services Package 2.0
- Reference Package 1.1
- Reference Package 2.0

Dependents

- Direction & Promotion Package 3.0
- Direction & Promotion Package 4.0
- Human Resources Package 1.0
- Human Resources Package 2.0

Related Business Activities*

- **Records Management**
 - Logged Communications
- **Respond to Queries**
 - Submit Queries
 - Assign Queries
 - Request Information
 - Provide Response
 - Perform Research
 - Prepare Response
- **Advocate SC**
 - Identify Opportunities
 - Request Advocacy Information
 - Provide Information
 - Receive Partner Advocacy Information
 - Define Content & Format
 - Prepare/Present Testimony
 - Make Testimony & Presentations/Explain Position/Research
 - Prepare and Publish

Associated Data Entities

- **Query**
 - Award
 - Institution
 - Organization
 - Proposal
 - Work Authorization
- **Program Area**
 - BR Code
 - Crosscut
 - Crosscut Association
 - Crosscut Category
 - Field of Science
 - Funding Type
 - Research Area
 - Research Area BR Code
 - Research Area Crosscut
 - Research Area Organizations
 - Research Area Parents
 - Research Area Status
 - Research Area Work Element
 - Research Type

Associated Technologies

- None

Associated Legacy Systems

- None

President's Management Agenda Initiatives

- **Expanded Electronic Government**
 - Automate processes to reduce cost internally
 - Share information between federal agency and public citizens and organizations more quickly
 - Simplify interaction between government and citizens

* See appendix A for complete SC HQ business activity descriptions.

Post 5-Year Plan IM Projects – Corporate System Development

Budget Package

Version 2.1

Description

Supports the SC Headquarters program direction budget process by maintaining summary information to help manage day-to-day operations. The capabilities listed in appendix B will be reviewed, changed, and augmented based on planned discussions between SC-41 and SC-62. Until these discussions are held, this version acts as a placeholder in the IM Strategic Plan.

Prerequisites

- Procurement Package 3.0
- Budget Package 2.0

Dependents

- None

Related Business Activities*

- **Collect Budget Input**
 - Collect Program Office Budget Information
 - Review "Continued" Work
 - Identify New Initiatives
- **Determine Funding Targets**
 - Review Funding Targets
 - Evaluate Funding Target for New Initiatives
 - Determine Funding Target for New Initiatives
 - Develop Funding Target for the Non-project Components
- **Justify Funding Distributions**
 - Prepare Justification for Continued Work
 - Prepare Justification Material for New Initiatives
 - Prepare Supplemental Material
- **Prepare Budget Request**
 - Obtain SC-1 Approval
 - Prepare the Budget in the Required Format
 - Approve Budget Request

Associated Data Entities

- **Funding Decision**
 - Award
 - Appropriation Symbol
 - BR Code
 - BRN
 - Budget Request
 - CFDA
 - Institution
 - LAB Work Auth
 - Non Lab Procure REQ
 - Organization
 - Planning Estimate
 - Project
 - Proposal Evaluation
 - Proposal Selection
 - Sharing
 - Work Authorization
 - Work Element Deliverables
 - Work Element Notes
 - Work Element Results
 -

Associated Technologies

Associated Legacy Systems

- None

President's Management Agenda Initiatives

- **Improved Financial Performance**
 - Re-engineering reporting process
 - Expand web-based technologies
 - Timely performance measurement information
 - More useful operational and investing data
 - Ensure consistent and comparable trend analysis
- **Expanded Electronic Government**
 - Automate processes to reduce cost internally
 - Share information more quickly and conveniently
- **Budget and Performance Integration**
 - Better control over resources used
 - Accountability of program managers

* See appendix A for complete SC HQ business activity descriptions.

Post 5-Year Plan IM Projects – Corporate System Development

Intranet Package

Version 3.0

Description

Intranet Package 3.0 augments 2.0 with the capabilities listed in appendix B.

Prerequisites

- Intranet Package 2.0

Dependents

- None

Related Business Activities*

- Access to all business activities through infrastructure and access methodology

Associated Data Entities

- All

Associated Technologies

- None

Associated Legacy Systems

- DOE-EDI – Electronic Data Interchange (EDI) Research Grant Proposal Project
- DOE-EIS – Executive Information System
- DOE-GISAFI – Government Information System Automated Field Input
- DOE-IMAP – Information Management Activity Planning 1997
- DOE-MARS – Management Analysis Reporting System
- DOE-R&D – DOE Research and Development (R&D) Tracking Database

President's Management Agenda Initiatives

- **Expanded Electronic Government**
 - Automate processes to reduce cost internally
 - Share information more quickly and conveniently
 - Eliminate legacy systems
 - Create easy-to-find single points of access to government services
- **Strategic Management of Human Capital**
 - Reduce number of managers
 - Reduce number of organizational layers
 - Reduce decision-making time
 - Increase number of employees providing services to citizens
 - Generate, capture, disseminate organization mission information

* See appendix A for complete SC HQ business activity descriptions.

Post 5-Year Plan IM Projects – Corporate System Development

Direction & Promotion Package

Version 3.0

Description

Supports the establishment of SC research direction by recording information on strategic goal achievement.

Prerequisites

- Reference Package 1.1
- Reference Package 2.0
- Direction & Promotion Package 1.0
- Direction & Promotion Package 2.0
- Support Services Package 1.1
- Support Services Package 2.0

Related Business Activities*

- **Operational Metrics**
 - Evaluate Goal Achievement
 - Define Performance Measures

Dependents

- Direction & Promotion Package 4.0
- Human Resources Package 1.0
- Human Resources Package 2.0

Associated Data Entities

- **Program Area**
 - Crosscut
 - Crosscut Association
 - Crosscut Category
 - Field of Science
 - Funding Type
 - Micro Code
 - Research Area
 - Research Area BR Code
 - Research Area Crosscut
 - Research Area Organizations
 - Research Area Parents
 - Research Area Status
 - Research Area Work Element
 - Research Type
- **Goal**
 - BR Code
 - BR Code Appropriation Symbol
 - Goal
 - Goal Amendment
 - Goal Evaluation
 - Organization
 - Person
 - Project
 - Research Area
 - Reviewer History
 - Rule or Mandate

Associated Technologies

- None

Associated Legacy Systems

- DOE-DISCAS – Departmental Integrated Standardized Core Accounting System

* See appendix A for complete SC HQ business activity descriptions.

Post 5-Year Plan IM Projects – Corporate System Development

President’s Management Agenda Initiatives

- **Expanded Electronic Government**
 - Automate processes to reduce cost internally
 - Share information between federal agency and public citizens and organizations more quickly
- **Budget and Performance Integration**
 - Identify high quality outcome measures
 - Monitor performance of programs

Post 5-Year Plan IM Projects – Corporate System Development

Human Resources Package

Version 1.0

Description

Supports SC Headquarters management of human resources by maintaining information on SC-related committees and SC sponsored awards. (These capabilities are currently not provided by CHRIS.)

Prerequisites

- Direction & Promotion Package 1.0
- Direction & Promotion Package 2.0
- Direction & Promotion Package 3.0
- Direction & Promotion Package 4.0
- Reference Package 1.1
- Reference Package 2.0
- Support Services Package 1.1
- Support Services Package 2.0

Dependents

- Human Resources Package 2.0

Related Business Activities*

- **Human Resource Communication**
 - Evaluate Staff
- **Operational Planning**
 - Contribute to DOE Initiatives
 - Identify areas for Research Programs
- **Operational Metrics**
 - Evaluate Goal Achievement

Associated Data Entities

- **Person**
 - Organization
 - Person Contact
 - Person Status
- **Program Area**
 - Crosscut
 - Crosscut Association
 - Crosscut Category
 - Field of Science
 - Funding Type
 - Research Area
 - Research Area Crosscut
 - Research Area Organizations
 - Research Area Parents
 - Research Area Status
 - Research Area Work Element
 - Research Type

Associated Technologies

- None

Associated Legacy Systems

- None

President's Management Agenda Initiatives

- Expanded Electronic Government
 - Automate processes to reduce cost internally
 - Share information more quickly and conveniently

* See appendix A for complete SC HQ business activity descriptions.

Post 5-Year Plan IM Projects – Corporate System Development

Direction & Promotion Package

Version 4.0

Description

Supports the establishment of SC research direction by maintaining information on outreach products, and providing for the performance of statistical analysis on them.

Prerequisites

- Direction & Promotion Package 1.0
- Direction & Promotion Package 2.0
- Direction & Promotion Package 3.0
- Support Services Package 1.1
- Support Services Package 2.0
- Reference Package 1.0
- Reference Package 2.0

Dependents

- Human Resources Package 1.0
- Human Resources Package 2.0

Related Business Activities*

- **Recognize Scientific Achievements**
 - Manage Award Selection Process
 - Nominate
 - Collect Information
 - Submit Information
 - Evaluate
 - Select
 - Notify
 - Recognize and Publicize
- **Operational Planning**
 - Establish Strategic Plan
 - Identify Areas for Research Programs
- **Advocate SC**
 - Identify Opportunities
 - Request Advocacy Information
 - Provide Information
 - Receive Partner Advocacy Information
 - Define Content & Format
 - Prepare/Present Testimony
 - Make Testimony & Presentations/Explain Position/Research
 - Prepare and Publish
- **Respond to Queries**
 - Submit Queries
 - Assign Queries
 - Request Information
 - Provide Response
 - Perform Research
 - Prepare Response

Associated Data Entities

- BR Code
- Crosscut
- Crosscut Association
- Crosscut Category
- Field of Science
- Funding Type
- Micro Code
- Research Area
- Research Area BR Code
- Research Area Crosscut
- Research Area Organizations
- Research Area Parents
- Research Area Status
- Research Area Work Element
- Research Type

Associated Technologies

- None

Associated Legacy Systems

- EPIC – Energy Pollution Prevention Info Clearinghouse
- VMS – Visuals Management System

* See appendix A for complete SC HQ business activity descriptions.

Post 5-Year Plan IM Projects – Corporate System Development

President’s Management Agenda Initiatives

- **Expanded Electronic Government**
 - Automate processes to reduce cost internally
 - Share information between federal agency and public citizens and organizations more quickly
- **Budget and Performance Integration**
 - Identify high quality outcome measures
 - Monitor performance of programs

Post 5-Year Plan IM Projects – Corporate System Development

Human Resources Package

Version 2.0

Description

Supports SC Headquarters management of human resources by maintaining information on training classes, workforce impacts, and human resource actions. (These capabilities are currently not provided by CHRIS.)

Prerequisites

- Human Resources Package 1.0
- Direction & Promotion Package 1.0
- Direction & Promotion Package 2.0
- Direction & Promotion Package 3.0
- Direction & Promotion Package 4.0
- Reference Package 1.1
- Reference Package 2.0
- Support Services Package 1.1
- Support Services Package 2.0

Dependents

- None

Related Business Activities*

- **Acquire Human Resources**
 - Fill Vacant Positions
 - Investigate Accidents and Injuries to SC Employee
 - Develop Workforce Requirements
- **Human Resource Communications**
 - Organize Training
- **Design SC Organization**
 - Develop Unit Charters
 - Establish Organizational Structure
 - Determine Unit Relationships

Associated Data Entities

- **Person**
 - Organization
 - Person Contact
 - Person Status
- **Program Area**
 - Crosscut
 - Crosscut Association
 - Crosscut Category
 - Field of Science
 - Funding Type
 - Research Area
 - Research Area Crosscut
 - Research Area Organizations
 - Research Area Parents
 - Research Area Status
 - Research Area Work Element
 - Research Type

Associated Technologies

- None

Associated Legacy Systems

- DOE-CHRIS – Corporate Human Resources Information System
- DOE-ETA – Energy Time and Attendance System
- DOE-INFO – DOE INFO
- DOE-PAYPERS – Payroll/Personnel System
- DOE-PAYS – Payroll
- IPA – Interagency Personnel Act Funding System
- SC-PATS – SC Personnel Action Tracking System

* See appendix A for complete SC HQ business activity descriptions.

Post 5-Year Plan IM Projects – Corporate System Development

President’s Management Agenda Initiatives

- **Strategic Management of Human Capital**
 - Enhance management flexibility
 - Permit performance-oriented compensation
 - Correct skills imbalances
 - Build, sustain, deploy skilled workforce
 - Recruit, retain, reward quality workforce
- **Expanded Electronic Government**
 - Automate processes to reduce cost internally
 - Share information more quickly and conveniently

Post 5-Year Plan IM Projects – Corporate System Development

Reference Package

Version 2.0

Description

Supports all SC Headquarters business activities by providing for the maintenance of additional reference information as needed.

Prerequisites

- Direction & Promotion Package 1.0
- Reference Package 1.1
- Support Services Package 1.1
- Support Services Package 2.0

Dependents

- Human Resources Package 1.0
- Human Resources Package 2.0
- Direction & Promotion Package 2.0
- Direction & Promotion Package 3.0
- Direction & Promotion Package 4.0
- Support Services Package 2.0
- Support Services Package 3.0

Related Business Activities*

- Supports all business activities

Associated Data Entities

- Supports all data entities

Associated Technologies

- None

Associated Legacy Systems

- DOE-FIMS – Facilities Information Management System

President's Management Agenda Initiatives

- **Expanded Electronic Government**
 - Automate processes to reduce cost internally
 - Share information more quickly and conveniently

* See appendix A for complete SC HQ business activity descriptions.

Post 5-Year Plan IM Projects – Corporate System Development

Support Services Package

Version 3.0

Description

Supports SC Headquarters support service responsibilities by managing office equipment, tracking work assignments, and managing meeting resources and logistics.

Prerequisites

- Support Services Package 1.1
- Support Services Package 2.0

Dependents

- None

Related Business Activities*

- **Facility Management**
 - Arrange Meeting Logistics
 - Manage Headquarters Facilities and Office
- **Human Resources Communications**
 - Program Work

Associated Data Entities

- To be determined

Associated Technologies

- None

Associated Legacy Systems

- DOE-FTMS – Foreign Travel Management System
- DOE-PAMS – Property Accounting and Management System
- INVEN – Computer Inventory System
- Materials Exchange – The Materials Exchange System
- SC55MILESTONEDB – Confinement Systems Budget & Milestone Database
- SCCAL – SC Calendar System

President's Management Agenda Initiatives

- **Expanded Electronic Government**
 - Automate processes to reduce cost internally
 - Share information more quickly and conveniently
 - Eliminate legacy systems
 - Streamline management and accessibility of departmental records
- **Strategic Management of Human Capital**
 - Adds workforce efficiency

* See appendix A for complete SC HQ business activity descriptions.

Post 5-Year Plan IM Projects – AD/OD Projects

The following IM projects resulted from SC-41 interviews with Associate Directors/Office Directors (AD/ODs) in FY 2002. It is recognized that priorities may change the timing or need for these projects.

Electronic Access to Research Project Data

Provides full electronic access to research project data (cradle to grave) that includes a data-mining tool to retrieve data and a data visualization characterization tool to graphically represent the data.

Videoconference Room Upgrade

Adds an overhead LCD projector in each of the five videoconference rooms (H207, G258, G436, E243, 7B058).

Enhanced Electronic Communication Tools

Provides enhanced electronic communications tools (e.g., an interactive web, video streaming, etc.) that enable electronic information to be targeted to key SC constituents (e.g., members of Congress, universities, etc.).

Electronic Access to Institutional Plan Data

Provides full electronic access to institutional plan data (i.e., science and technology workforce information, university grants and fellowships information, information on graduates in science and technology coming out of universities, diversity information, etc., with a sophisticated search capability.

Science and Technology Search Capability

Provides the ability to seamlessly search and understand what is happening in the science and technology world via a hot news flash capability that can be tailored by the individual to periodically search the web for relevant new information and post it on his/her workstation.

Work for Others System

Provides an automated system supporting the Work for Others program (the data for which is currently being maintained by SC-7 in a spreadsheet).

*Budget Support

Provides automation in support of the planning and development of the budget that result in its preparation and presentation being done as efficiently as possible. This especially supports the SC Financial Management Division that must pull the entire budget development together for the Office of Science.

*Electronic Budgeting, Strategic Planning, and Metrics

Provides standard management tools supporting the SC budget, strategic planning, and metrics processes electronically.

*Program Direction Funds Tracking System

Provides an automated system that assists each SC Headquarters program organization in managing their allocation of program direction funds effectively.

*Action Tracking System

Provides an electronic system to track all action items.

*Grants and FWP's Support

Provides automation in support of the grants and field work proposal process that results in procurements being done more efficiently and funding being provided to scientists more quickly. (Ensures that whatever funding is made available to us is made available to the successful PI's as quickly and as efficiently as possible.)

Post 5-Year Plan IM Projects – AD/OD Projects

*Web-Based Solution

Provides a web-based solution that enables access to all IM services available to SC Headquarters through a secure intranet.

*CFO Laboratory Directed Research & Development System Change

Provides a change to the CFO Laboratory Directed Research & Development (LDRD) system currently in development that would enable the laboratories to upload their data into the system instead of having to re-key their data.

*Pull-Up SC Budget

Provides a query and reporting system that enables the user to quickly pull up comprehensive information on the SC budget (past, present, and future).

* These projects are covered or partially covered under other projects planned.

Post 5-Year Plan IM Projects – SC-41 Projects

The following projects are recommended by SC-41 to improve IM support.

Performance Measures and Process Engineering

Increases network speeds for users through better planning of network performance. Identifies network performance standards and develops the processes needed to monitor and maintain those standards.

Microsoft Corporate Update

Reduces the time and work needed to provide users with updates to their desktops. Allows SC-41 to centrally maintain a standard set of updates for workstations and/or servers.

Network Baselining and Inventory Control Tool

Improves user services and reduces costs through improved management of system components. Provides early warning of problems, identification of bottlenecks, and automated monitoring of system performance against baseline and service level agreements.

Load Testing Tool

Provides more efficient identification of performance and capacity issues in products and applications before they are rolled out to the users.

Requirements Management Tool

Helps applications better meet user expectations by providing a tool to capture, track, and manage requirements from start to finish for all development projects.

Offline/Near-line Storage

Provides users with the ability to access archived emails and other data on demand at lower cost.

Post 5-Year Plan IM Projects – SC-41 Projects

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Post 5-Year Plan IM Projects – SC-1 Projects

SC Electronic Mail Address Augmentation

Augments the Outlook Exchange address list, making it inclusive of SC field and Headquarters organizations (with the added capability to then create personalized mailing lists).

Post 5-Year Plan IM Projects – SC-1 Projects

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Application Relationship to Business Model Activities

		Manage Formulate-Budget						Manage Procurement Execute-Budget						Manage Support Services		Manage Human Resources			Set Direction for Research		Represent / Promote SC		
		Issue Budget Call	Collect Budget Input	Determine Funding Targets	Justify Funds Distribution	Resolve Competing Program Priorities	Prepare Budget Request	Prioritize Program Needs	Issue Solicitation	Receive Proposals	Authorize Work (FWPs)	Award Work (FWPs)	Oversee Work	Records Management	Facility Management	Acquire Human Resources	Human Resource Communication	Design SC Organization	Operational Planning	Operational Metrics	Respond to Queries	Advocate SC	Recognize Scientific Achievements
Budget Execution 1.0	Budget 1.1		x																				
Budget Execution 1.0	Budget 2.0		x	x	x	x	x																
Program Direction	Budget 2.1		x	x	x	x	x																
	Procurement 2.0 (SC FAPS*)								x	x	x												
EWM 2.0	Procurement 2.1									x			x										
EWM 2.0	Procurement 3.0									x	x	x											
EWM 3.0	Procurement 4.0									x													
Mail Merge	Procurement 4.0									x													
EWM 3.1	Procurement 4.1												x										
Support Services 1.1														x					x				
Support Services 2.0														x									
Support Services 3.0															x		x						
Human Resources 1.0																	x	x	x	x			
Human Resources 2.0																x	x	x					
Management 1.0	Direction & Promotion 1.0																		x				
Management 2.0	Direction & Promotion 2.0													x							x	x	
Management 3.0	Direction & Promotion 3.0																			x			
Management 4.0	Direction & Promotion 4.0																		x		x	x	x
Intranet 2.0		x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x
Intranet 3.0		x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x
Reference 1.1		x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x
Reference 2.0		x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x

* SC Financial Assistance System

Corporate Outlook Status

Summary

The Federal and Department of Energy E-Government initiatives described in this section were reviewed to determine their effect on SC Headquarters corporate development projects. Because priorities, schedules, and resources available for these initiatives could change at any time, SC-41 will monitor their status periodically.

The initiatives are grouped into the following three categories.

1. **Impact in FY 2004:** One Federal and several DOE initiatives affect SC corporate development in FY 2004, either through direct SC participation or by the need for SC to ensure that there is no duplication and that development in SC is compatible with the broader initiatives.
2. **Impact in FY 2005 and Beyond:** Several additional DOE initiatives are likely to have some impact on SC corporate development, but the effect cannot be assessed until these initiatives are more fully defined.
3. **No Anticipated Direct Impact:** No direct or immediate effect on SC Headquarters development could be determined at the time of this review because of the status or focus of these initiatives. Some of these initiatives may affect SC through an organization responsible for implementation DOEwide.

Corporate Outlook Status

Impact in FY 2004

The following Federal and Department of Energy initiatives may have a significant impact on SC corporate development in FY 2004.

Name	Description	Impact
Federal e-Government		
Grants.gov (formerly e-Grants)	Creates a single, online portal for all federal grant customers to find and apply for grants, thus making it easier for potential recipients to obtain information about federal grants.	Grants in electronic format from e-Grants website are input to either SC through IIPS or into e-Procurement (future), then SC. Solicitations are also provided to the e-Grants website directly from SC or through e-Procurement (future). This process will begin by October 2003. SC-40 is participating in groups responsible for implementation.
IDEA		
Streamline Departmental Grants Process (SDGP)	Provides grant seekers access to all DOE grant solicitation notices from a common portal and the ability to electronically submit grant applications/proposals.	SDGP will reengineer some or all of the procurement business activities (for grants only) throughout the Department. SDGP may consider using the SC Procurement application to automate the re-engineered process Departmentwide.
e-R&D Portfolio Management/Intellectual Property Portfolio Online	Provides a one-stop virtual repository for the Department's R&D portfolio and private industry with a single point of entry to the Department's intellectual property portfolio.	Per agreements with ePME, SC-41 will implement critical functionality currently performed by RIMS, which is at risk of failure.
Enterprise Financial Management (I-Manage)	Provides the Department with a financial management system that electronically integrates budget formulation/execution, accounting, financial reporting, activity based management/costing, and performance measurement.	I-MANAGE will receive and consolidate key data from DOE corporate and component systems. SC will ensure in advance of application development that SC work authorization data will comply with I-MANAGE standards.
e-Procurement (I-Manage)	Streamlines procurement and financial assistance award and administration process and provides ability to track personal property and gather more timely information on the contractor workforce.	In FY 2004, e-Procurement will begin with requirements definition. SC will work with e-Procurement to ensure that SC corporate development meets e-Procurement requirements.

Corporate Outlook Status

Impact in FY 2005 and Beyond

Name	Description
IDEA	
Consolidated DOE Intranet	Serves as a secure, single point of entry to all DOE information sources and Portal) provides a variety of web based services such as collaboration, workflow and document management infrastructure.
eXCITE	Consolidates all aspects of common information technology (IT) systems throughout DOE as a way to improve services, increase IT purchasing power, and reduce overall IT expenditures.
Integrated Document Management Services	Integrates multiple components of correspondence, documents, and records management within the Department
New DOE Website	Creates DOE Web site organized around principal Departmental strategic objectives and standardizes individual program office Web site layout
Enterprise HR	Streamlines employee and management personnel actions, training administration, competency/skills management, online vacancy/recruitment, and employee self-service.
FOIA	Improve the delivery of FOIA services to Americans by releasing documents to the public through a common web site/portal.
e-Signatures	Eliminates manual signatures on official documents by integrating electronic signatures with applications throughout the department.

Corporate Outlook Status

No Anticipated Direct Impact

Name	Description
Federal e-Government	
GovBenefits.Gov	Creates a single point of access for citizens to locate and determine eligibility for government benefits and services.
IRS free e-Filing	Creates a single-point of access to free online preparation and electronic tax filing services provided by Industry Partners to reduce burden and costs to taxpayers.
Online Access to Loans	Creates a single point of access for citizens to locate loans. Improves efficiency and reduces burden of loan programs.
USA Services	GSA initiative to develop and deploy Governmentwide citizen customer service using industry best practices that will provide citizens with timely, consistent responses about government information and services.
e-Rulemaking	Allows citizens to easily access and participate in the rule making process. Improves the access to, and quality of, the rulemaking process for individuals, businesses, and other government entities while streamlining and increasing the efficiency of internal agency processes .
Expanding Electronic Tax Products for Businesses	Reduces the number of tax-related forms that businesses must file, provides timely and accurate tax information to businesses, increases the availability of electronic tax filing, and models simplified federal and state tax employment laws.
Federal Asset Sales	Creates a single, one-stop access point for businesses to find and buy government assets.
International Trade Process Streamlining	Makes it easy for Small and Medium Enterprises (SMEs) to obtain the information and documents needed to conduct business abroad.
One-stop Business Compliance	Reduces the burden on businesses by making it easy to find, understand, and comply with relevant laws and regulations at all levels of government.
Consolidated Health Informatics	An HHS initiative to adopt a portfolio of existing health information interoperability standards (health vocabulary and messaging) enabling all agencies in the federal health enterprise to “speak the same language” based on common Enterprisewide business and information technology architectures.
Geospatial Information One-Stop	Provides federal and state agencies with single-point of access to map-related data enabling consolidation of redundant data.
Disaster Management	Provides federal, state, and local emergency manager’s online access to disaster management-related information, planning, and response tools.
SafeCom	Provides interoperable wireless solutions for federal, state, local, and tribal public safety organizations and ensures they can communicate and share information as they respond to emergency incidents.

Corporate Outlook Status

e-Vital	Establishes common electronic processes for federal and state agencies to collect, process, analyze, verify, and share birth and death record information. Also promotes automating how deaths are registered with the States.
e-Training	Provides a single point of online training and strategic human capital development solutions for all federal employees, reducing instructor and travel costs and improving human capital management.
Recruitment One-Stop	Outsources delivery of USAJOBS Federal Employment Information System to deliver state-of-the-art on-line recruitment services to job seekers including intuitive job searching, on-line resume submission, applicant data mining, and on-line feedback on status and eligibility.
e-Clearance	Streamlines and improves the quality of the current security clearance process.
e-Payroll	Consolidates 22 federal payroll systems to simplify and standardize federal human resources/payroll policies and procedures to better integrate payroll, human resources, and finance functions.
e-Travel	Will consolidate, streamline and automate the travel management function across the Federal Government by providing a common, Web-based, end-to-end travel management service. The service will transform travel planning, authorization and reservations, expense reporting, as well as claims and voucher reconciliation. It will leverage commercial travel management best practices to realize significant cost savings, improve service, and broaden the range of travel-related services available to federal travelers.
Integrated Acquisition	Creates a secure business environment that will facilitate and support cost-effective acquisition of goods and services by agencies, while eliminating inefficiencies in the current acquisition environment.
e-Records Management	Provides policy guidance to help agencies to better manage their electronic records, so that records information can be effectively used to support timely and effective decision making, enhance service delivery, and ensure accountability. Four major issue areas: Correspondence management, Enterprisewide electronic records management, Electronic Information Management Standards, Transferring permanent records to NARA.
e-Authentication	Minimizes the burden on businesses, public, and government when obtaining services online by providing a secure infrastructure for online transactions, eliminating the need for separate processes for the verification of identity and electronic signatures.
Enterprise HR Integration	Streamlines and automates the electronic exchange of standardized HR data needed for creation of an official employee record across the Executive Branch. Provides comprehensive knowledge management workforce analysis, forecasting, and reporting across the Executive Branch for the strategic management of human capital.

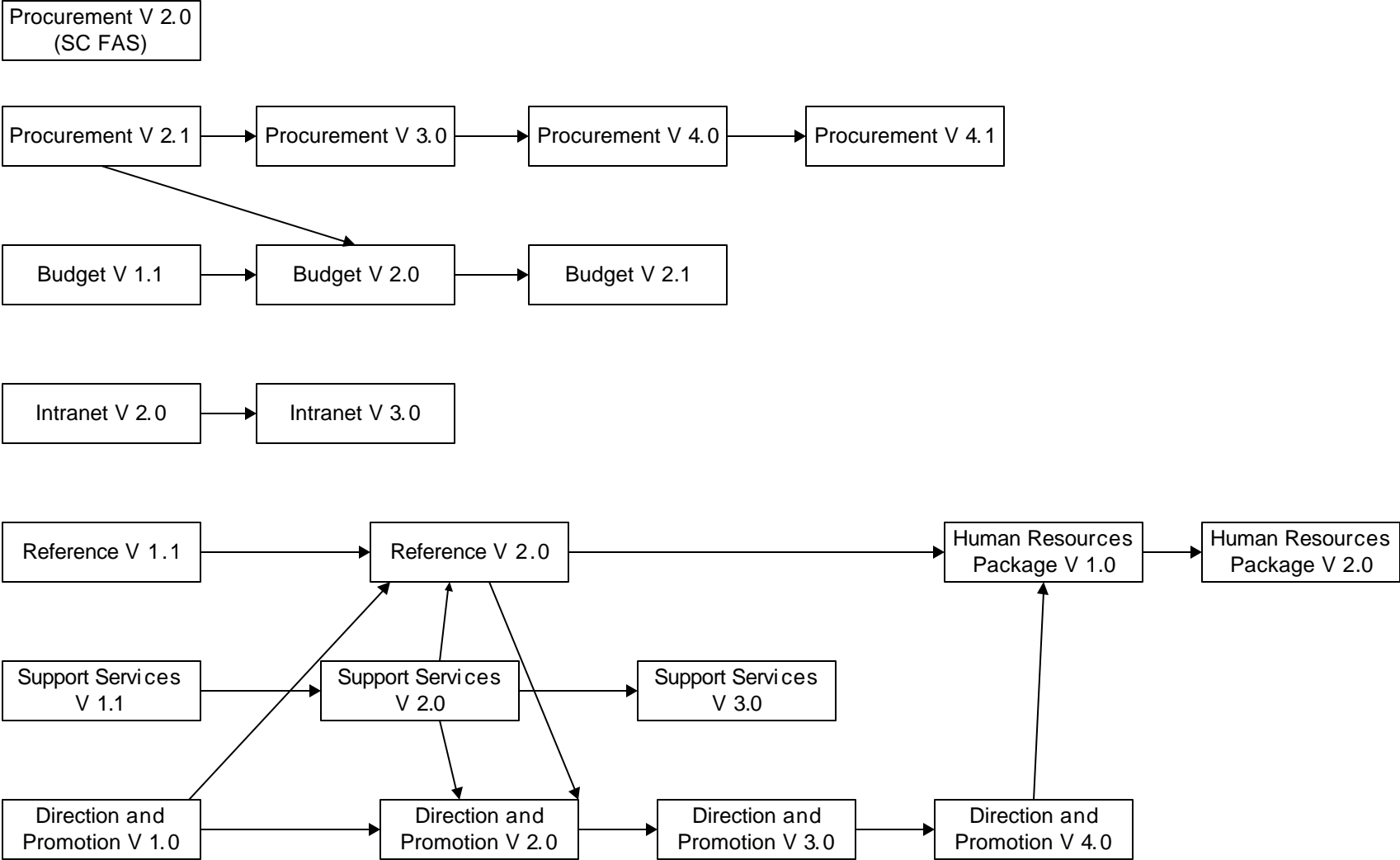
IDEA

e-Med Claims	Transforms the Department's ability to manage employment, exposure, and health data supporting worker claims pursuant to the Energy Employees Occupational Illness and Compensation Program Act of 2000.
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Corporate Outlook Status

Assessment of Foreign Owned, Controlled or Influenced (FOCI) Companies	Automates FOCI companies' determination process and aids the Department in reducing adverse security incidents.
Nuclear Accountabilities	Reengineers business processes and integrates stand-alone systems to ensure complete nuclear materials accountability
Counter Intelligence e-Case Mgmt.	Provides Departmentwide view of common, but site-specific information for analysis purposes and permits need-to-know information sharing.
e-Departmental Integrated Safeguards	Allows for electronic receipt, processing, sharing, and archiving of clearance-related data within the Department and across agencies
Secure Network Services	Improves on overall security for large volumes of classified information.

Corporate Systems Development Dependencies



DOE Office of Science Headquarters

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Project Relationships

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Project Relationships

1. RIMS uses a SQL component (DB-Library) that is not supported in post SQL 2000 versions of SQL; such a move will cause RIMS to be inoperable. RIMS, RIMS Sync, RIMS Web are supported by SQL 6.5 databases that will be upgraded to SQL 2000.
2. Moving the portal server (SCIP) to Active Directory and SQL 2000 and Windows .NET 2003 server cannot happen until the portal is upgraded. Currently, the task of migrating the portal servers to AD has been removed from the AD project and moved to the SQL 2000 project with the expectation that this Portal Upgrade project will occur prior to the implementation phase of SQL 2000.
3. The EIM solution may share similar requirements and may use the same software as the Portal Upgrade project.
4. IMSC servers must move to SQL 2000 to be .NET compatible.
5. Moving the portal server (SCIP) to Active Directory and SQL 2000 and Windows .NET 2003 server cannot happen until the portal is upgraded. Currently, the task of migrating the portal servers to AD has been removed from the AD project and moved to the SQL 2000 project with the expectation that this Portal Upgrade project will occur prior to the implementation phase of SQL 2000.
6. The Cyber Security service has requirements for certain baseline services that must be incorporated into this project.
7. Intrusion Detection capabilities, which fall under the Cyber Security Service, may be procured and implemented as part of the Gigabit project.
8. The Disaster Recovery service has requirements for certain baseline services that must be incorporated into this project.
9. The Gigabit Ethernet project will increase Disaster Recovery efficiency.
10. LAS may share similar business process as the Budget (formerly called Budget Formulation and Budget Execution) package or ATS.
11. An EIM implementation is important to the success of all Corporate System Development Packages.
12. Budget 1.1 will automate functionality necessary to build Budget 2.0.
13. Procurement 2.0 will automate functionality necessary to build Budget 2.0.
14. FMIS, FMIS Sync are supported by SQL 6.5 databases that will be upgraded to SQL 2000.
15. LAS retrieves data from FMIS.

Project Relationships

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Legacy System to New Application Relationships

As each new application within the Corporate System Development category is delivered, the potential exists for existing legacy systems to be retired, replaced, or modified. The following table identifies this relationship. No associated legacy system will be retired, replaced, or modified without the approval of the customer. However, certain at-risk legacy systems may need to be replaced or modified prior to the planned delivery of the new applications. As a result of the Executive Steering Committee IM prioritization or significant risk to the SC infrastructure, the following at-risk legacy systems are planned for replacement or modification during FY 2004 – FY 2008: RIMS, FMIS, SBIR, STTR, SC-PATS, LAS, and IPA.

Legacy System	Legacy System Long Name	New Application
ACTION	Action Tracker for ER-621	Support Services Package V 1.1
DOCLOG	Document Logging System	Support Services Package V 2.0
DOE-ADDS	Automated Departmental Directives System	Reference Package V 1.1
DOE-CHRIS	Corporate Human Resources Information System	Human Resources Package V 2.0
DOE-DISCAS	Departmental Integrated Standardized Core Accounting System	Direction & Promotion Package V 3.0
DOE-EDI	Electronic Data Interchange (EDI) Research Grant Proposal Project	Intranet Package V 3.0
DOE-EIS	Executive Information System	Intranet Package V 3.0
DOE-ES&HMP	Environmental Safety and Health (ES&H) Management & Infrastructure Plan	Budget Package V 2.0
DOE-ESDOCS	Executive Secretary Document Online Coordination System	Support Services Package V 2.0
DOE-ESS	DOE Employee Self Service	Intranet Package V 2.0
DOE-ETA	Energy Time and Attendance System	Human Resources Package V 2.0
DOE-FDS	Funds Distribution System	Budget Package V 2.0
DOE-FIMS	Facilities Information Management System	Reference Package V 2.0
DOE-FINWAREHOUSE	Financial Data Warehouse	Budget Package V 2.0
DOE-FTMS	Foreign Travel Management System	Support Services Package V 3.0
DOE-GISAFI	Government Information System Automated Field Input	Intranet Package V 3.0
DOE-HELPDESK	APPLIX Enterprise (Helpdesk)	Intranet Package V 2.0
DOE-IMAP	Information Management Activity Planning 1997	Intranet Package V 3.0
DOE-INFO	DOE INFO	Human Resources Package V 2.0
DOE-MARS	Management Analysis Reporting System	Intranet Package V 3.0
DOE-ONLINE LOCATOR	Callup	Intranet Package V 2.0
DOE-OPENINFO	OpenInfo	Intranet Package V 2.0
DOE-PAMS	Property Accounting and Management System	Support Services Package V 3.0

Legacy System to New Application Relationships

Legacy System	Legacy System Long Name	New Application
DOE-PAYPERS	Payroll/Personnel System	Human Resources Package V 2.0
DOE-PAYS	Payroll	Human Resources Package V 2.0
DOE-POPLIST	DOE Phone List (POPLIST)	Intranet Package V 2.0
DOE-R&D	DOE Research and Development (R&D) Tracking Database	Intranet Package V 3.0
EPIC	Energy Pollution Prevention Info Clearinghouse	Direction & Promotion Package V 4.0
ERA	Electronic Research Administration	Procurement Package V 3.0
FMIS	Financial Management Information System	Budget Package V 2.0
INVEN	Computer Inventory System	Support Services Package V 3.0
IPA	Interagency Personnel Act (IPA) Funding System	Human Resources Package V 2.0
KEYWORD	Keyword System	Support Services Package V 1.1
LABELS	Label System	Procurement Package V 4.0
LAS	SC Laboratory Appraisal System	Procurement Package V 3.0*
Materials Exchange	The Materials Exchange System	Support Services Package V 3.0
PHONE-SC	SC Phone Listing	Intranet Package V 2.0
RIMS	Research Information Management System	Procurement Package V 3.0
ROUTSLIP	Routing Cover Memo	Support Services Package V 1.1
SAM	System for Action Management	Support Services Package V 1.1
SBIR	Small Business Innovation Research System	Procurement Package V 3.0
SBIRMAIL	SBIR Mailing List	Procurement Package V 4.0
SC131GRANT	2001GRANTS.XLS	Procurement Package V 3.0
SC142GRANT	SC-142 Geosciences Database Grants and Budget System	Procurement Package V 3.0
SC14ALDBBUDGET	Chemical Sciences Dbase Budget	Procurement Package V 3.0
SC222HEPBUDGET	High Energy Physics Budget History	Budget Package V 2.0
SC222RWBUDGET	HEPBUD	Budget Package V 2.0
SC222RW BUDGETPLN	Budget Spreadsheet for High Energy Physics	Budget Package V 2.0
SC224HEPWAT	HEP Wash. Admin.Technology R&D Subprogam Plan 1997	Budget Package V 2.0
SC22CASRPT	Contract Action Status Report	Procurement Package V 3.0

Legacy System to New Application Relationships

Legacy System	Legacy System Long Name	New Application
SC22CongRepForm	Congressional Report Form	Procurement Package V 4.0
SC22PRDIST	SC 22 Physics Research Distribution	Procurement Package V 3.0
SC22UCIP	University Contract Information Program (UCIP)	Procurement Package V 3.0
SC22UPROGS	SC-222 University Program Funding	Budget Package V 2.0
SC31AMISCFORM	ER31\BUDGET\MICS\AMICFORM	Budget Package V 2.0
SC32LTRBUDGET	Laboratory Technology Research (LTR) Program Project	Budget Package V 2.0
SC52BUDGET	SC-52 Budget System	Budget Package V 2.0
SC55BUDGET	Fusion Budget Summary	Budget Package V 2.0
SC55HOMEPG	Office of Fusion Energy Science	Intranet Package V 2.0
SC55MILESTONEDB	Confinement Systems Budget & Milestone Database	Support Services Package V 3.0
SC63BUDGET	SC-63 Budget Spreadsheets	Budget Package V 2.0
SC70BUDGET	BER Budget Spreadsheet	Budget Package V 2.0
SC70CONTACT	Contact Database	Intranet Package V 2.0
SC72CORE	CORE.XLS	Budget Package V 2.0
SC72HSRD	Human Subjects Research Database	Intranet Package V 2.0
SC74ESDBUDGET	Environment Sciences Division (ESD) Budget Tables	Budget Package V 2.0
SC74GCDB	Grants and Contracts Database	Procurement Package V 3.0
SC74HPAL	ESD Contact Management	Intranet Package V 2.0
SC8CONTRACT	SC-8 Contractor Expenditure Tracking System	Budget Package V 2.0
SCCAL	SC Calendar System	Support Services Package V 3.0
SC-PATS	SC Personnel Action Tracking System	Human Resources Package V 2.0
STTR	Small Business Technology Transfer System	Procurement Package V 3.0
VMS	Visuals Management System	Direction & Promotion Package V 4.0

Legacy System to New Application Relationships

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Appendix A
Office of Science Headquarters
Business Model

Appendix A: Business Model

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Appendix A: Business Model

Represent/ Promote SC

Respond to Queries

Submit Queries	The query originator submits a request for information to the Office of Science (SC).
Assign Queries	Guided by Department of Energy (DOE) Orders, SC customer service standards and Congressional Questions and Answers (Q&A) instruction packages, questions are assigned to SC staff.
Request Information	An SC Staff Member requesting research information from an SC Business Partner for the purpose of preparing a response to a query.
Provide Response	SC Business Partners responding to a request for information in regard to a query. The information provided is delivered to the requesting SC Staff Member.
Perform Research	SC Staff Members identifying and utilizing the necessary resources in order to develop an appropriate response to the inquiry. Staff Members could potentially request information from Business Partners who have specific knowledge or information pertaining to the inquiry.
Prepare Response	SC Staff Members preparing responses to queries. The staff member responsible for responding to the query uses the necessary tools to assimilate research information that has been collected in response to the query. A response is prepared and then delivered to the Query Originator.

Recognize Scientific Achievements

Manage Award Selection Process	The management of the award selection process (i.e., nominate, evaluate, select, notify) for Departmental, Office, and other awards (e.g., Lawrence and Fermi).
Nominate	Nomination for scientific achievements.
Collect Information	Collecting information such as articles and graphics demonstrating scientific achievements made at institutions.
Submit Information	Institution submitting information to SC in response to a request for articles and graphics demonstrating scientific achievements made at the particular institution.
Evaluate	Evaluation for scientific achievements.
Select	Selection for scientific achievements.
Notify	Notification for scientific achievements.
Recognize and Publicize	Recognizing and publicizing scientific achievements and progress.

Advocate SC

Identify Opportunities	Identifying advocacy opportunities and potential audiences.
Request Advocacy Information	Requesting information, graphics, etc., from labs, universities, principal investigators, and collaborators in support of development of SC advocacy presentations, testimony and identifying advocacy opportunities.
Provide Information	SC Business Partners providing information in response to a request made in support of SC Advocacy. Information provided consists of potential advocacy opportunities or assistance in defining advocacy content and format.

Appendix A: Business Model

Receive Partner Advocacy Information	Ascertaining that advocacy information obtained serves the best interests of SC and its partners.
Define Content and Format	Defining advocacy content and format.
Prepare/Present Testimony	Preparing testimony and presentations for public forums, professional societies, academe, Congressional meetings, and other governmental organizations.
Make Testimony and Presentations/Explain Position/Research	Proactively conveying the role of SC in the national and international scientific enterprises.
Prepare and Publish	Preparing, publishing, and making readily available newsletters, articles, op-ed pieces, Web pages, brochures, etc.

Manage Budget

Issue Budget Call

Prepare Guidance	Guidance is required for the pre-CRB, CRB, Office of Management Budget (OMB), and Congressional budget submissions. SC-1 (SC Director and immediate staff) and SC-63 discuss and agree on budget guidance and funding targets. They use the previous fiscal year (FY) budget; Office of Science and Technology Policy (OSTP), OMB, and DOE (i.e., Chief Financial Officer [CFO]) guidance; notes taken during testimony; input from Advisory Committees; input from Assistant Director (AD)/Office Directors (OD) and other sources to determine the broad outline of the SC budget. SC-63 also determines if any changes need to be made to the format of the CRB, OMB, and Congressional budget submissions, based on guidance for budget content and format from OMB and the CFO. SC-63 prepares an initial guidance document that is approved by SC-1.
Issue SC Guidance	SC-63 issues GUIDANCE for the preparation of the FY budget. This GUIDANCE consists of control figures that set limits for the Program Offices' FY budget, a description of the content and format for the FY budget, and direction on programs that SC Management wants to include in the FY budget request. The FY Budget GUIDANCE is issued to the Program Offices. NOTE: the control amounts are program specific and can cut across different programs (cross cutting control amounts). Program Office Budget Requests must tie to both.
Issue Program Office Guidance	In addition to the formal GUIDANCE issued by SC-63, SC Managers (AD/OD) may also establish Program office control amounts and narrative that are used to guide the formulation of the Program Office budget. These internal control amounts must be consistent with SC control amounts and narrative. The ISSUE GUIDANCE process is iterative. SC-63 issues guidance throughout the BUDGET FORMULATION process. SC-63 receives a BUDGET REQUEST, reviews it against control amounts and other guidance, and resolves any problems and issues with the Program office. This process occurs at all stages of the BUDGET FORMULATION process: pre-CRB, CRB, OMB and Congressional (Presidential). NOTE: The Budget Formulation component of the Financial Management Information System (FMIS) currently includes the CRB, OMB, and Presidential submissions.

Collect Budget Input

Collect Program Office Budget Information	SC Program Offices independently collect and analyzes input to the FY budget. The Project Managers working with the Program office AD/OD accomplish this. Each project Manager uses a number of different sources for this information: previous budget(s), input from INSTITUTIONs performing
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Appendix A: Business Model

	work, results of PROGRAM OVERSIGHT ACTIONS, guidance from SC, DOE, OMB, OSTP, Advisory Committees and other similar bodies.
Review "Continued" Work	The Project Manager reviews and assesses "continued" projects. A significant percentage of SC project work (about 75 percent) is continued from one FY to another. Continued includes work that is currently underway (e.g., second year of a three year grant) and work that is to be renewed (e.g., end of a three year grant but SC plans to renew the grant). In these cases, the INSTITUTION performing the work is known, the work has been defined, and the funding target is known with some precision. "Continued" work is identified from the Field Work Proposal (FWP) supplied by Labs; the Construction Data Sheets supplied by Labs; approved Procurement Requests and approved contracts and inter agency agreements. Data used to prepare the previous FY budget submission is used as an important source for this review.
Identify New Initiatives	The Project Manager also identifies any new initiatives that they plan to initiate for the budget FY. These initiatives result from SC strategic and other plans, GUIDANCE from Congress, DOE, and Advisory Committees, etc. In general, they represent new scientific research. These are often multi year projects that are planned to be supported for several years. Estimates of "out year" costs are developed. In certain cases, new initiatives result from an urgent, unforeseen situation (e.g., Brookhaven). If the performing INSTITUTION has not yet been identified, funds are categorized as "undesignated" in the budget submission. The collection of budget input is a continuous process that occurs throughout the year. A Project Manager must consider funding requirements for multiple fiscal years.

Determine Funding Target

Review Funding Targets	The determination of a funding target for a project is a highly iterative process. A Project Manager initially does it and it is reviewed (and sometimes revised) by a Division Director and/or AD/OD. The level of detail that Project Managers and SC Managers (AD/OD) use to establish funding targets vary with certain Program Offices establishing these below the B&R code level and some offices using high level funding categories that include funds in several different B&R codes. These lower level targets are "rolled up" to the B&R code level for presentation to SC-63.
Evaluate Funding Target for Continued Initiatives	For projects that are "continued", a project Manager evaluates the dollar amount that was originally scheduled for the budget FY. He/she takes into account changes in programmatic priorities, results of PROGRAMMATIC OVERSIGHT ACTIONS (e.g., progress reports) and GUIDANCE (i.e., control amounts and narrative) to decide whether the dollar amount should be maintained or changed. A very large percentage of the "continued" projects (over 90 percent) are maintained at the planned amount. This constitutes what is referred to as the "mortgage" amount.
Determine Funding Target for New Initiatives	For new initiatives, a Project Manager evaluates the dollar amount that can be allocated to the new initiative. He/she takes into account "mortgage" amounts, the FY amount that was planned for the new initiative, GUIDANCE (i.e., control amounts and narrative), and other factors to decide an amount that he/she requests for the FY budget.
Develop Funding Target for the Non-project Components	Certain components of the SC budget are determined on a cross-organizational basis. Each Program Office establishes its own funding target for the PROGRAM DIRECTION component of its budget. These are rolled up to establish an overall PROGRAM DIRECTION funding target. A second consideration for PROGRAM DIRECTION is the requirement to handle Full Time Equivalent (FTE) budgeting. This is accomplished by SC-62 based on

Appendix A: Business Model

a calculation that translates FY dollars to FTEs, as measured in person years. Another example is Small Business Innovation Research (SBIR) / Small Business Technology Transfer (STTR) that is established as a percentage of SC's scientific research budget.

Justify Funds Distribution

Prepare Justification for Continued Work

For "continued work", a Project Manager uses the previous FY budget submission for justification material. Other sources for justification material for continued work include FWP's, PROPOSALS, and the results of PROGRAM OVERSIGHT ACTIONS. The justification material is compiled and edited, if required. The justification material must conform to GUIDANCE in terms of format and content.

Prepare Justification Material for New Initiatives

For new initiatives, a Project Manager uses numerous sources to prepare justification material. The sources can include results of Advisory Committee deliberations; SC strategic and other plans, Congressional GUIDANCE or decisions, etc. The justification material is compiled and edited. It must conform to GUIDANCE in terms of format and content. In certain Program Offices (e.g., Basic Energy Science [BES]), the Project Manager prepares a formal position paper that contains both the FUNDING TARGET and JUSTIFICATION. The position paper is submitted to the AD/OD for consideration.

Prepare Supplemental Material

Supplemental material is used to provide additional information to support the requested funding target. Impact assessments document the analysis performed by Project Managers and SC Managers on decisions taken during the budget formulation process. These include the annual analyses of alternate funding levels (e.g., the budget decrement case of 10 percent and a budget increase scenario) and ad hoc assessments resulting from SC Management decisions. Appeals are prepared in response to decisions that are normally taken by non-SC organizations such as the CFO, OMB, and Congress; but may also involve decisions taken by SC Management (in particular, by SC-1 or SC-2). Typically, an appeal documents the assessment of the impact of the decision on the project and justifies why the requested amount should be maintained or why another amount should be considered.

Resolve Competing Programming Priorities

Review Project Funding Profiles

A Project Manager compiles the FUNDING TARGETS and related FUNDING JUSTIFICATIONS for his/her projects. He/she evaluates the resulting funding profile against GUIDANCE (i.e., control amounts and narrative), previous FY budgets submissions and their perceptions and/or assessments of the optimal funding profile for the projects or scientific area. This often results in a decision to modify an individual FUNDING TARGET and its related JUSTIFICATION.

Review Program Funding Profiles

A Manager (AD/OD) performs essentially the same activities but at a higher level. He/she uses the input provided by the Project Managers to assess and evaluate the FUNDING TARGETS and JUSTIFICATION for their Program/Scientific area. This results in changes to FUNDING TARGETS and JUSTIFICATION.

Prepare Budget Request

Approve Budget Request

The BUDGET REQUEST undergoes a concurrence process. The AD/OD concurs in the BUDGET REQUEST. The final, approved BUDGET REQUEST is submitted to SC-63 for quality control. SC-1 and SC-2 perform a funding profile review after the AD/OD concurrence and SC-63 control. The FUNDING TARGET and/or the JUSTIFICATION can be amended.

Appendix A: Business Model

Obtain SC-1 Approval	AD/OD's meet individually with SC-1 to explain/justify program plans at the 3 funding levels. SC-1 makes funding decisions for SC and relays decision to SC-63 for conveyance to AD/OD's.
Prepare the Budget in the Required Format	The BUDGET DECISION is formatted into a standard format that is prescribed by SC-63. This varies as to the Budget stage. For the pre-CRB, a summary at the Program and major construction Project level is required. For the other stages, a far more detailed and rigid format is used. Detail is at the B&R code level and below depending on the budget formulation stage. The requested FUNDING TARGET and FUNDING JUSTIFICATION are reviewed, edited, and prepared in the required format. These are summarized at various levels for presentation purposes.

Manage Procurement

Prioritize Program Needs

Review Guidance	GUIDANCE comes from numerous sources including the marked up FY Budget (which contains congressional guidance), Administrative guidance from DOE and SC management (SC-1), recommendations from Advisory Committees and similar groups and SC's strategic and operational plans. The SC Program Manager (including AD/ODs) review the GUIDANCE to identify impacts to ongoing work and new initiatives that have been funded or ongoing work at the laboratories that may be funded for many previous years and continued indefinitely.
Review Ongoing Work	A significant portion (about 75 percent) of SC work consists of projects that are continued for the FY (e.g., second year of a three year grant) or renewed (e.g., end of a three year grant with a renewal). SC Program Manager reviews ongoing work to decide whether it will be funded at the planned amount or whether the funding amount will be different due to budget constraints and other factors (see GUIDANCE above).
Confirm New Work/Projects	The SC Program Manager confirms new work/projects that have been funded. He/she reviews the purpose, objectives, scope, possible tasks, expected results, and timing for the new work/project. The SC Program Manager also reviews the GUIDANCE (narrative and dollar amount) to make any required revisions to the components of the new work.
Initiate Budget Execution	The Chief Financial Officer initiates budget execution by issuing a call for an initial Approved Funding Program (AFP). This occurs in August when, as a minimum, the Senate and House Appropriations' Committees have marked up the FY budget resulting in a preliminary appropriation amount or a Conference Appropriation bill has been enacted. The timing is driven by the need to provide funding to the labs by October. It is common that the Appropriations process is not concluded at the time of the AFP.

Oversee Work

Review Progress and Final Report	Progress reports are received from an INSTITUTION for most of SC funded work. Such reports are required by 10 CFR 605 for grants and cooperative agreements. Receive progress report. The INSTITUTION submits an annual progress report. For grants and cooperative agreements, the progress report is to be received by SC by a certain date and must be received in order to process the continuation of the grant (i.e., funding for the next period). Evaluate progress. The relevant Program Manager reviews the progress report. The Program Manager uses the progress report to evaluate what the INSTITUTION has achieved. The Program Manager defines actions to be undertaken by the INSTITUTION to address any problem or issues that result
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Appendix A: Business Model

from the review of the progress report. For grants and cooperative agreements, the purpose of the review is to determine if the progress made in achieving the scientific purpose(s) warrants continuing the grant as is, modifying the grant or terminating it. The review results in a recommendation. Issue guidance. The Project Manager's recommendation is concurred by SC Management. SC's decision is transmitted to the INSTITUTION.

Approve Final Report

At the end of a grant, the INSTITUTION must submit a final report. The final report is reviewed and approved by the Project Manager. This triggers a close out action by the relevant OPERATIONS OFFICE.

Execute Other Oversight Actions

In general, SC executes a program oversight action and records the follow up actions and/or results of the oversight. Initiate oversight action. The Program Manager initiates the oversight action. In certain cases such as a construction project, the type of oversight action is determined by DOE and/or SC rules and practices (GUIDANCE). In other cases, the Program Manager determines the oversight action. The Program Manager can determine the objectives, scope, timing, and other aspects of the program oversight action (i.e., prepare a program oversight action plan). Make administrative and other arrangements. The Program Manager arranges for the oversight action. This can involve considerable administrative and coordination work, particularly if a Blue Ribbon panel or similar group is going to be used. Accomplish oversight action. The program oversight action is undertaken. The program oversight action results in a document that describes what was done and the findings and/or recommendations. This is submitted to the Program Manager. In some cases, the Program Manager prepares the evaluation document. Record result and follow up actions. The results of the program oversight action are reviewed and evaluated by the Program Manager and others. The review can result in decisions that impact and guidance to the INSTITUTION. The review can also result in specific follow up actions such as preparation of a report by the INSTITUTION that is requested by the Program Manager. Grants and cooperative agreements (part of 10 CFR 605 guidance) require specific reports. Other types of oversight actions vary.

Issue Solicitation

Issue Notice of Intent

Issue Letter of Intent

Issue Letter of Intent.

Post Letter

Post letter.

Receive Responses

Receive responses.

Issue Annual 605 Solicitation Notice

SC has a centralized and highly structured process that is governed by the SC Grant Program Rule - 10 Code of Federal Regulation (CFR) Part 605. SC issues numerous solicitation notices each fiscal year. At the beginning of each year, an annual grant solicitation notice is published in the Federal Register indicating that the SC grant program, 10 CFR Part 605, is continuing for another year and that Grant PROPOSALS may be submitted to SC at any time. This annual solicitation notice includes broad program descriptions for all SC program areas.

Prepare Annual 605 Notice

Prepare Annual 605 Notice.

Route Annual 605 Notice for Concurrence and Approval

Route Annual 605 Notice for concurrence and approval.

Publish Annual 605 to Federal Register

Publish Annual 605 to Federal Register.

Post Annual 605 to DOE-SC

Post Annual 605 to DOE-SC web site.

Appendix A: Business Model

Web Site

Issue 605 Solicitation Notice

In addition to the Annual 605 solicitation notice described above, SC programs also issue numerous specific solicitation notices that focus on more specific science areas and include due dates for receipt of the Grant PROPOSALS. The process begins when the SC program manager prepares a draft of the solicitation notice. The program manager follows a prescribed format that includes a description of the scientific research area, due dates, addresses for proposal submission, points of contact, funding levels, and other supplementary scientific or administrative information. SC-64 finalizes the solicitation notice, publishes it in the Federal Register, and posts it at the SC Grants and Contracts Web Site. Potential applicants are asked to visit the SC Grants and Contracts Web Site for further instructions regarding preparation and submission of Grant PROPOSALS. The web site also contains forms that can be downloaded and included in the PROPOSAL. In some instances, before a solicitation notice is published, SC program managers may elect to post at the web site, a brief Notice of Intent to issue a solicitation. This may occur when the SC program manager feels it is necessary to give advance notice to the scientific community that a solicitation will be issued.

Post Notice of Intent

Post Notice of Intent.

Prepare 605 Solicitation Notice

Prepare 605 Solicitation Notice.

Prepare 605 Solicitation Notice

Prepare 605 Solicitation Notice.

Route Notice for Concurrence and Approval

Route Notice for concurrence and approval.

Publish Notice to Federal Register

Publish Notice to Federal Register.

Post Notice to DOE-SC Web Site

Post Notice to DOE-SC web site.

Issue Contract Solicitation

From time to time, SC may have a need to award a contract on a competitive basis, using a Request for Proposal (RFP). The Federal Acquisition Regulations (FAR) and the Department of Energy Acquisition Regulations (DEAR) govern this process. The regulation requires that a contracting officer located in a DOE operations office must issue RFP's. (SC does not have authority to issue RFPs to select a contract on a competitive basis.) Once the program manager decides a contract is needed to fulfill the program's requirements, the program manager prepares a Procurement Request (PR), which authorizes the DOE Operations Office to prepare and issue the RFP. The RFP process may vary depending upon the nature of the work, and the management style or requirements of the DOE operations office. Therefore, the process may vary slightly depending upon these factors.

Prepare RFP Statement of Work

Prepare RFP Statement of Work.

Prepare RFP PR Package

Prepare RFP PR package.

Prepare RFP

Prepare RFP.

Route RFP for Concurrence

Route RFP for concurrence.

Publish in Commerce Business Daily

Publish in Commerce Business Daily.

Post RFP on the Field Office Web Site

Post RFP on the Field Office web site.

Appendix A: Business Model

Link to RFP on the Field
Office Web Site

Link to RFP on the Field Office web site.

Issue 600 Solicitation

A 600 solicitation Notice for financial assistance PROPOSALS is issued in the form of a program rule or other publicly available document that invites the submission of applications by a common due date or within a prescribed period of time. A Program Assistant Secretary (or official of equivalent authority) may annually issue a program notice describing research areas in which financial assistance is being made available. Such notice states whether the research areas covered by the notice are to be added to those listed in a previously issued program rule. If they are to be included, then PROPOSALS received as a result of the notice may be treated as having been in response to that previously published program rule. If they are not to be included, then PROPOSALS received in response to the notice are to be treated as unsolicited PROPOSALS. A DOE Contracting Officer or program office may issue solicitations with prior concurrence of the contracting office. DOE publishes either a copy or a notice of the availability of a financial assistance solicitation in the Federal Register. DOE publishes solicitations or notices in the Commerce Business Daily when potential applicants include for-profit organizations or when there is the potential for significant contracting opportunities under the resulting financial assistance awards.

Prepare 600 Solicitation for
SBIR/STTR

Prepare 600 Solicitation for SBIR/STTR.

Prepare 600 Action
Solicitation

Prepare 600 Action Solicitation.

Issue Lab Program Announcement

For Laboratory projects that the Program Office has decided will not be handled through the UNICALL, SC uses a process that is similar to that used for grants. These are not covered by 10 CFR 605 but are processed in a similar way. The result is a PROGRAM ANNOUNCEMENT. The Program Office prepares material describing the scientific research project. The Program Office "packages" the information into a standard format. This creates the PROGRAM ANNOUNCEMENT that contains Notice Id, Title, Guide for preparation of proposals that describes the evaluation criteria, summary of proposal and content with detailed contents of the proposal, detailed instructions for the budget, due dates for the pre-proposal and proposal, submission address, and Point of Contact (POC). The PROGRAM ANNOUNCEMENT is issued only to LABORATORIES.

Lab Notice of Intent

Lab Notice of Intent.

Prepare Program
Announcement to Labs

Prepare Program Announcement to Labs.

Route Program Announcement
for Concurrence

Route Program Announcement for concurrence.

Post Lab Program
Announcement on the DOE-
Program/SC Web Site

Post Lab Program Announcement on the DOE-Program/SC web site.

Issue UNICALL

For Lab projects only, a UNICALL is issued by the CFO. The UNICALL is issued for funding requests and program descriptions for several fiscal years. SC provides input to the UNICALL. The SC Project Manager provides a summary description of the work to be performed by the Lab and dollar amounts. SC-63 consolidates at the Program Office level (AD/OD) and at the SC level this input. It is sent to the CFO to be included as an attachment to the UNICALL and serves as SC guidance for the preparation of the Lab's response (the Field Work Proposal).

Appendix A: Business Model

Prepare Guidance of Project	Prepare Guidance of Project.
Consolidate Guidance	Consolidate Guidance.
Attach to UNICALL	Attach to UNICALL.

Award Work

<i>Manage Award Type</i>	Determine the type of Award.
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Manage Financial Assistance

Manage Grants	Manage Grants.
Manage Cooperative Agreements	Manage Cooperative Agreements.
Manage Interagency Agreements	Manage Interagency Agreements.

Manage Orders

Manage Delivery Order	Manage delivery order.
Manage Purchase Order	Manage purchase order.
Manage Special Research	Manage special research.
Manage Task Order	Manage task order.

Manage Contracts

Manage Blanket Purchase	Manage blanket purchase.
Manage Cost-Type	Manage cost-type.
Manage Fixed Price	Manage fixed price.

Manage FMIS Holding Account

Manage M&O Awards

<i>Transmit to Operations Office</i>	All types of WORK AUTHORIZATIONS are sent to a DOE OPERATIONS OFFICE for agreement negotiation and final approvals.
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<i>Negotiate Agreement</i>	For the PR FORM and SELECTION STATEMENT, the DOE OPERATIONS OFFICE negotiates the AGREEMENT with the INSTITUTION. The Contracting Officer has the authority to negotiate certain financial components (e.g., percentage fee) and uses conditions set by SC to reach agreement with the INSTITUTION. The AGREEMENT can result in a different agreement amount than that on the PR FORM. The OPERATIONS OFFICE enters a corporate system, Procurement and Assistance Data System (PADS). PADS data is used to update Electronic Work Management system (EWM 1.0) data on a weekly basis. The Operations Office completes a Notice of Financial Assistance Award (NFAA) for grants and cooperative agreements. A copy of the Notice is sent to SC-64 that compares and verifies certain information found in the NFAA.
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<i>Complete Work Authorization</i>	For Lab WORK AUTHORIZATIONS, the DOE OPERATIONS OFFICE official must sign the WORK AUTHORIZATION form and submit it to the Institution's contract official. This official must also sign the form.
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Receive Proposals

Manage Proposal Types

Receive a Grant Pre-proposal and Proposal	Receive a Grant pre-proposal and proposal.
Receive a Program Announcement Pre-proposal and Proposal	A Pre-proposal may not be required by the PROGRAM ANNOUNCEMENT. If a Pre-proposal is received, the issuing SC Program Office receives it. Each SC Program Office can log and acknowledge receipt of a Pre-proposal. A Proposal is always required. It is received and logged by the Program Office. Unsolicited and sole source responses are handled the same way as other

Appendix A: Business Model

	responses.
Receive Field Work Proposals	The response to the UNICALL (Lab only) is a FIELD WORK PROPOSAL (FWP). SC-63 receives a FWP. SC-63 routes the proposed work components to the SC Program Offices for review. The FWP is submitted in about 3 months after the issuance of the UNICALL. For each work component, the FWP contains three sets of information, organized by FY. For the Current FY, it describes what has been accomplished and identifies what will be accomplished and spent during the remainder of the Current FY. For the Current FY + 1, it defines what the Lab wants to accomplish for that FY and what funds are required. For the Current FY + 2, it outlines what the Lab plans to accomplish and what funds are required to meet the planned activities. NOTE: FWPs are not necessary to initiate a change in a Lab project. A telephone call, fax, email, or letter can initiate these changes. Such a change may be only to the work component. If the change results in a requirement to modify the authorized funding for the work component, an AFP CHANGE REQUEST is triggered. Some offices require written notices for following up on phone calls.
Receive Renewals	Receive renewals.
Receive Supplementals	Receive supplementals.
Acknowledge Proposals	SC-64 receives PROPOSALS targeted for Grants and confirms receipt of the PROPOSAL by sending a letter to the candidate INSTITUTION. The letter specifies a program manager as a POC and that the INSTITUTION will be notified when a decision has been made. This process occurs for Grants only.
Review Proposals	
Review Field Work Proposals	For Lab work, each Program Office evaluates their FWP work component. SC has committed to tracking and recording the results of the evaluation of FWP work components. In some Program offices, a merit review process is used while in others no formal review/evaluation process is currently used. The merit review is the process a PROPOSAL undergoes to determine eligibility and scientific/technical importance based on Office of Science stated evaluation criteria. The Program Manager reviews the work component of the FWP, the results of any reviews by a non-SC reviewer and decides what action to recommend to SC Management. The types of action that can be taken are fully fund as described in the FWP, change the defined work, change the funding amount, change the amount and the work and not fund. The Program Manager can also recommend that this be the terminal funding for the work component. The Program Manager's proposed action is reviewed through a concurrence process within the Program Office. The proposed action may be revised. The Program Office compiles the approved work components into packages. The packages are sent to SC-63.
Evaluate Grant Pre-Proposals and Proposals	The review process is different depending on whether the review involves a Pre-PROPOSAL or PROPOSAL. A Pre-PROPOSAL may be the subject of a screening by an expert panel. The criteria used to screen Pre-PROPOSALS are general: suitability of the proposed research project, relationship to the SC mission, eligibility of the proposing INSTITUTION. The Program Manager makes the initial conclusion to encourage or discourage the Pre-PROPOSAL. A letter informing the proposing INSTITUTION of the conclusion is prepared and sent by the Program Office. PROPOSALS are the subject of a formal review process as described in the Financial Assistance Program (FAP) Application Guide. The review process consists of an administrative review and a formal merit review. NOTE: renewal requests for grants are subject to merit review. Upon receipt of a PROPOSAL, SC-63 conducts an administrative review by determining whether the document contains the

Appendix A: Business Model

	<p>prescribed information, has been approved by an official authorized to sign for the applicant organization, and falls under the scientific scope of the Office of Science Financial Assistance Program (FAP). A PROPOSAL may be returned if omissions preclude further review or if additional information is required. The relevant Program Office conducts the merit review. Project managers review PROPOSALS for technical/scientific merit and program policy factors. The Program Manager selects the review methodology: outside reviewers (a minimum of three), standing committee, ad hoc committee. Exceptions (e.g., no review indicating sole source selection) are noted. The PROPOSAL is submitted to the reviewer. The reviewer examines the PROPOSAL based on the evaluation criteria as defined in 10 CFR 605. The reviewer documents the results and returns them to the Program Manager. The Program Manager evaluates the recommendations of the reviewer and makes a recommendation to fund or not to fund the PROPOSAL. A formal declination letter is prepared if a no fund decision is made. As a customer-oriented service, SC provides to the declinations the results of the peer review (or proposals to supply if requested) to assist in the improvement of future proposals.</p>
Evaluate Program Announcement Pre-Proposals and Proposals	<p>The issuing Program Office evaluates a Pre-PROPOSAL and a PROPOSAL. The process is similar to that used for Pre-PROPOSALS and PROPOSALS. A Pre-proposal is evaluated using the approach defined in the related PROGRAM ANNOUNCEMENT. This can include a review by SC Program Managers, by non-SC staff in other DOE Offices and/or by external experts. The Program Manager reaches a conclusion to encourage a full Proposal or not. This conclusion is sent to the INSTITUTION. A Proposal is evaluated based on the criteria and approach defined in the PROGRAM ANNOUNCEMENT. The criteria can be the same as the "merit" criteria defined by 10 CFR 605. Normally, the PROPOSAL is reviewed by external reviewers. The Program manager compiles and evaluates the results of the review and makes a recommendation to fund or not to fund the PROPOSAL. A formal declination letter is prepared if a no fund decision is made. As a customer-oriented service, SC provides to the declinations the results of the peer review (or proposals to supply if requested) to assist in the improvement of future PROPOSALS.</p>
<i>Select Proposals</i>	Select proposals.
Authorize Work	
Establish/Confirm Availability of Funds	<p>The processing of an AFP CHANGE REQUEST, WORK AUTHORIZATION, or a PR PACKAGE also results in financial transactions. These involve the Program Manager and SC-63. At the beginning of the FY, the Program Manager, with the help and advice of his staff, makes an allocation of funding into all the relevant "pots of money" to use to fund the WORK AUTHORIZATION or PR. This may involve deciding to move dollars from one B&R (account) to another B&R and it is done at a high level. As the FY progresses, expenditures are tracked against ceilings. The ceilings may change during the year for programmatic reasons. The control is by concurrence on the relevant funding document. SC-63 provides monthly tabulations of the status of funds for procurements. The Program Manager informs/discusses the financial transaction with SC-63. SC-63 uses control figures to ensure that the transfer of funds is within approved funding limits. The PR PACKAGE or AFP CHANGE REQUEST is submitted to SC-63. SC-63 reviews it and ascertains whether the B&R account(s) are correct and funds are available or need to be transferred in the accounts. This "certification of funds" is noted on the PR PACKAGE or AFP CHANGE REQUEST. SC-63 modifies its records (FMIS) to reflect the</p>

Appendix A: Business Model

financial transaction. This triggers a SC-63 modification to the AFP (consolidates the AFP CHANGE REQUEST). The consolidated AFP CHANGE REQUEST is submitted to the CFO on a monthly basis. The CFO ensures that funds are transferred/available in the relevant OPERATIONS OFFICE to fund the PR PACKAGE or WORK AUTHORIZATION. In some instances, funding is allocated in advance to the relevant OPERATIONS OFFICES and is based on the proper B&R codes. The intent is to cover Procurement actions during the early part of the FY. This is done based on available information. Typically, the starting point is something like 75 percent of the last years procurement funding. This "pre-load" is reviewed monthly and adjusted as needed. By midyear, typically, the majority of the procurement actions have been processed, undecided funds are low, and it is possible to make accurate projections.

Prepare Work Authorization Package

A WORK AUTHORIZATION PACKAGE is prepared and issued for work selected as part of a FWP review process resulting from a UNICALL or proposal resulting from a PROGRAM ANNOUNCEMENT. SC-63 compiles the approved FWP work components into a WORK AUTHORIZATION package consisting of a PROGRAM LETTER and a WORK AUTHORIZATION form. The Program Letter contains a description of the work to be performed and the funding amount authorized for the performance period. This is organized by Budget & Report (B&R) code, Operations Office, and Laboratory. The relevant Program office prepares draft material (project description and amount). This draft is submitted to SC-63 that performs a quality check using control figures. SC-63 prepares a WORK AUTHORIZATION form that describes the authorized work (summary), the project title, responsible officials, INSTITUTION, authorized amount(s) by B&R code(s) for the performance period. A WORK AUTHORIZATION number is also assigned. The WORK AUTHORIZATION Form and draft PROGRAM LETTER are signed by an official (AD/OD) who has the authority to authorize the work. It is sent to the Manager of the relevant Operations Office.

Prepare Procurement Request Package

A PROCUREMENT REQUEST (PR) PACKAGE is prepared for a PROPOSAL and for a proposal received in response to a RFP. The PR package consists of a PR FORM and a SELECTION STATEMENT. The PR FORM contains general, financial, and certification information. The SELECTION STATEMENT contains identification information such as category of award, awardee, and work title. It also contains the programmatic justification and overall result of the merit review process. NOTE: certain elements of the SELECTION STATEMENT duplicate those of the PR FORM. Once prepared, the PR FORM and SELECTION STATEMENT are subjected to a concurrence process within the Program Office. Once the Program office concurrence is completed, the PR PACKAGE is subjected to a "quality control". As a "quality control" function, SC-64 performs a review and analysis of each grant and contract authorization, (i.e., a Procurement Request (PR) package, which is prepared by a SC program manager). With this analysis, the SC-64 Analyst reads the various components of the PR package, which typically includes the Selection Statement, Technical Cost Evaluation, Procurement Request Form, and the Grant PROPOSAL. The content of the PR package varies depending upon the type of action being authorized. The components listed above are typical for new grants, renewals, and supplemental funding actions. Continuation funding actions contain less documentation. The PR PACKAGE is approved by an official (AD/OD) who has the authority to recommend that an award be made.

Appendix A: Business Model

Manage Support Services

Records Management

Manage Document Preparation and Distribution

Prepare Document	Prepare document according to DOE ES style guide and program guidelines.
Log Receipt	Log confirmation of receipt into SC correspondence tracking system.
Distribute Document	Distribute document within SC established guidelines.
Log and Archive Document	Log and archive document into SC correspondence tracking system.

Log Communications

Log Communications	Log calls, letters, email, meetings, and conversations.
Associate Communications	Associate communications with projects, tasks, and persons.

Manage the Concurrence Process

Determine Approval Source	Determine the approving office or person.
Establish Concurrence Chain	Establish the concurrence chain (i.e., who should participate in review or concurrence and the required sequence). Obtain comments. Obtain signature of approving office or person. This process needs to be dynamic and static. Certain concurrence items are processed according to a defined "chain"; others require that a concurrence routing be defined dynamically.

Manage Records

Process Document	Determine whether a document is a record according to regulations.
Process Classified Material	Process classified material.
Inventory Materials	Inventory record and non-record materials, including records maintained in electronic and audio-visual form.
Produce RIDS	Produce the Records Inventory and Disposition Schedule (RIDS) of hard copy and machine-readable records.
Archive Records	Transfer records to archival storage, with disposal schedule.
Dispose of Material	Dispose of unneeded material.

Administer Travel

Prioritize Trips	Prioritize trips based on justification and expected travel budget.
Authorize Travel	Authorize travel (i.e., itinerary, participants, and schedule).
Manage Travel Arrangements	Make travel arrangements, including coordination of trips based on proximity of locale including coordination of rental car sharing.
Submit Travel Expenses	Submit expenses and justification.

Facility Management

Manage HQ Facilities and Office Equipment

Determine Headquarters Requirements	Determine HQ facility requirements.
Maintain Inventories	Maintain equipment and other inventories.
Process Infrastructure Request	Process requests and arrange for installation of electricity, telephone/data lines, furniture, and other infrastructure items.
Manage Physical Modifications	Organize and oversee physical modification of space.
Manage Retired Property	Arrange for the return or transfer of retired property.
Manage Office Move	Allocate space and schedule physical moves.

<i>Arrange Meeting Logistics</i>	Arrange for logistic support for a meeting, including a room, communication
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Appendix A: Business Model

system, translation services, copiers, recording equipment, web-site link, and facilitation.

Set Direction for Research

Operational Planning

Establish Strategic Plan

Identify Facilities	Identify new facilities.
Develop Judgments	Develop judgments about an expert opinion on scientific program content, balance, and interactions between programs.
Propose Research Opportunities	Propose research opportunities.
Analyze Benefits and Costs	Analyze benefits and costs of on going and proposed programs and project technologies.
Formulate Cooperative Agreements	Formulate needs, goals, criteria, and standards for cooperative agreements with institutions.
Manage International Agreements	Determine whether to continue, terminate, or modify international agreements.
Develop Strategic Plan	Develop mission, goals, strategies, and indicators of success for DOE, SC, and Program Offices.

Set Operational Guidance

Analyze Existing Guidelines	Analyze existing and proposed policies, procedures, and processes, including those generated internally and externally.
Identify Areas for Improvement	Identify areas for improvement.
Provide Comments on Legislation	Comment on proposed legislation.
Develop Operational Guidelines	Develop policies, procedures, and processes. Develop regulations, orders, guides, and technical standards. This covers a wide range of technical, scientific, business management and facility management functions.

Identify Areas for Research Programs

Research Scientific Areas	SC staff read scientific and technical journals to keep abreast of developments in scientific areas of interest to SC.
Discuss Scientific Developments	Communicate with scientists about particular scientific developments.
Manage Advisory Committee	Establish advisory committee; consider advisory committee findings and recommendations in identifying new programs.
Request Scientific Research	Request scientific community committees and expert groups to identify research opportunities and development needs.
Mine Sources	Mine other sources of program concepts, such as peer reviews; the results of briefings and seminars; intra-agency, inter-agency, and international meetings, and laboratory and academia workshops.
Define Collaboration Opportunities	Define opportunities to collaborate with international institutions and other U.S. Government Agencies.
Conduct Studies	Conduct internal studies of issues and options. Conduct special studies.
Present Position	Present positions on scientific work opportunities.

Manage Institutional Laboratory Planning

Initiate Planning Process	Initiate the institutional planning process for laboratories.
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Appendix A: Business Model

Provide Planning Guidance	Provide SC/DOE planning guidance (e.g., requirements, assumptions, and program decisions) and planning information.
Prepare/Consolidate Conclusions	Prepare and consolidate technical judgments and expert opinions on the proposed laboratory plans. Propose changes to laboratory plans.
Conduct Planning Review	Conduct on-site planning review with other DOE participants.
<i>Contribute to DOE Initiatives</i>	
Analyze Strategic Plan	Analyze strengths, weaknesses, and opportunities in DOE strategic plan.
Determine and Present Options	In the role of Science and Technology Advisor to the Secretary, determine and present options for DOE direction for research orientation and scientific policy, including international and inter-agency collaborations.
Develop Position	Develop SC position on DOE guidance, policies, and procedures for such matters as budget, procurement, staffing, information management, conduct of operations, facility construction, occupational safety and health, environment, and security.
Recommend Projects	Recommend projects for the S-1 Performance Agreement.
Operational Metrics	
<i>Oversee Project and Facility Planning</i>	
Determine Facility Requirements	Identify required facilities and facility needs, taking into account program office strategic plans and program implementation plans.
Negotiate Facility Arrangements	Negotiate with laboratory based on laboratory's proposal for facility downsizing/termination or for equipment changes/facility upgrades.
Define Project Plan Components	Define project activities, schedule, resource allocation, and management approach.
Prepare Project Plan	Prepare a project plan in accordance with DOE Orders, guidelines, and program office policies (e.g., JPOD on project management).
<i>Evaluate Goal Achievement</i>	
Assess Achievement Progress	Assess progress made against DOE, SC, and Program Office goals, indicators of success, performance measures, operational criteria and other standards.
Evaluate Collaborative Projects	Evaluate international/inter-agency collaborative projects with participating institutions.
Evaluate Science and Technology Performance	SC program managers annually assess and rate the DOE laboratories' performance of SC research against contracted performance criteria. SC-1 develops an overall rating for each laboratory's SC funded Science and Technology. The laboratories' performance ratings determine their annual award-fee.
Determine User Satisfaction	Determine extent to which user needs are being met by DOE user facilities.
Improve Effectiveness	Develop insights into the effectiveness of SC, DOE Operations Offices, and Laboratory initiatives to conduct operations in a safe and healthful manner.
<i>Define Implementation Actions</i>	
Develop Program Content	Based on the SC and program office strategic plans and the S-1 Performance Agreement, develop program objectives, milestones, and performance measures.
Develop Customer Service Plan	Prioritize and schedule actions to improve customer service (i.e., customer service plan).
Develop Exchange Plans	Develop technical exchange plans with foreign governments.
Manage Implementation Activities	Prioritize, schedule and assign resources to program implementation activities (i.e., multi year program plan).

Appendix A: Business Model

Manage Research Task

Refine research tasks and identify research sources for cooperative agreements with governmental agencies.

Define Performance Measures

Define Goals

Establish performance goals to define the level of performance to be achieved by a program activity.

Describe Resources

Describe the operational processes, skills and technology, and the human, capital, information, or other resources required to meet the performance goals.

Provide Basis for Comparison

Provide a basis for comparing actual program results with the established performance goals.

Define Means of Verification

Describe the means to be used to verify and validate measured values.

Manage Human Resources

Design SC Organization

Develop Unit Charters

Develop mission and function statements for SC organizational units.

Establish Organizational Structure

Establish the hierarchical structure.

Determine Unit Relationships

Determine functional and reporting relationships for SC organizational units.

Acquire Human Resources

Develop Workforce Requirements

Analyze Workforce Requirements

Analyze workload trends. Using data (e.g., employment targets, attrition, diversity, skills requirements, skills mix, hiring moratoriums, collective bargaining agreements, use of Intergovernmental Act Assignees (IPA) and Detailees), determine workforce requirements and composition for each SC organizational unit.

Justify Needs

AD/OD's evaluate and justify resource needs, and provide annual plan to SC-60. SC-1 reviews/approves recruitment plans within hiring and funding guidelines. SC-60 conveys decisions to AD/OD's for implementation within their jurisdictions.

Allocate Staffing Levels

Allocate staffing levels taking into account workload, research and program funding trends, level of program direction funding, legislation, administration and secretarial initiatives, and SC FTE ceiling employment level and targets.

Fill Vacant Positions

Decide Staffing Approach

Decide staffing approach (i.e., new hire or internal redeployment).

Prepare Position Description

Supervisor writes position description that accurately depicts the duties to be performed. Works with MA's Office of Personnel staffing specialist to ensure description meets Federal standards and guidelines.

Announce Position Vacancies

Announce position vacancies.

Manage Employment Applications

Receive and evaluate employment applications.

Manage Selection

Interview candidates. Select candidates. Establish tour of duty.

Interview Candidates

The process of Interviewing a candidate within established Federal interview guidelines.

Select Candidates

Involves the process of selecting a potential candidate for hire.

Investigate Accidents and Injuries to SC Employees

Investigate Incidents

Investigate accidents and injuries to SC employees.

Appendix A: Business Model

Identify Modifications	Identify improvements or changes to SC occupational health and safety program.
Make Modification Decision	Decide on improvements or changes to SC occupational health and safety program.

Human Resources Communication

Evaluate Staff

Communicate Expectations	Communicate employer expectations to employee.
Set Performance Standards	Set Performance Standards.
Define Development Needs	Define employee development needs.
Evaluate Performance	Critique performance. Nominate staff for recognition; award staff.
Counsel Staff	Counsel staff; establish alternatives for improved performance.
Take Corrective Action	Take corrective actions.
Initiate Disciplinary Actions	Initiate disciplinary actions.

Program Work

Define Work Tasks	Define work tasks.
Determine Task Location	Determine task location.
Assign Staff to Tasks	Assign persons (SC employees and others) to tasks.
Schedule Partners	Schedule other persons (e.g., peer reviewers and advisory committee members) for work activities.
Establish Work Schedule	Establish employee work schedule.
Account for Work	Account for employee work and non-work hours on a per day basis.

Organize Training

Identify Training Requirements	Obtain and consolidate individual educational and skill maintenance needs into SC training needs. Match training needs against resources.
Establish Training Program	Establish training program.
Manage Training	Establish mandatory training courses; schedule staff to attend the mandatory classes; conduct mandatory training (e.g., security briefings). Coordinate training schedules and classes with other DOE organizations. Acquire training resources (e.g., outside vendors for classes, self-training programs).
Evaluate Training Effectiveness	Evaluate training effectiveness.

Appendix A: Business Model

Acronym	Description
AD/OD	Associate Director/Office Director
AFP	Approved Funding Program
B&R Code	Budget and reporting code
BES	Basic Energy Science
CFO	Chief Financial Officer
CFR	Code of Federal Regulations
CRB	Corporate Review Budget
DEAR	Department of Energy Acquisition Regulations
DOE	Department of Energy
ES	Executive Secretary
EWM	Electronic Work Management
FAP	Financial Assistant Program
FAR	Federal Acquisition Regulations
FMIS	Financial Management Information System
FTE	Full Time Equivalent
FWP	Field Work Proposal
FY	Fiscal year
HQ	Headquarters
IPA	Intergovernmental Act Assignees
NFAA	Notice of Financial Assistance Award
OMB	Office of Management Budget
OSTP	Office of Science and Technology Policy
PADS	Procurement and Assistance Data System
POC	Point of Contact
PR	Procurement Request
Q&A	Questions and Answers
RFP	Request for Proposal
RIDS	Records Inventory and Disposition Schedule
SBIR/ STTR	Small Business Innovation Research/Small Business Technology Transfer
SC	Office of Science
SC-1	SC Director and immediate staff.

Appendix B Capabilities

Appendix B: Capabilities

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Appendix B: Capabilities

Budget Package

Version 1.1

Capability	Description
Track dollar changes to an AFP	Facilitate data transfer within SC-63 and between SC-63 and SC-70.

Appendix B: Capabilities

Budget Package

Version 2.0

Capability	Description
Manage execution appeals	Record revised funding amounts related to the appeal and associated justification reasons (i.e., narrative appeal).
Manage to budget constraints	View deltas between control numbers and sums of budget amounts while modifying the latter.
Record program budget execution	Develop schedules for executing program budgets, preparing AFPs, preparing other work authorizations, performing reconciliation's, and preparing appeals.
Record guidance	Record programmatic decisions and financial controls resulting from programmatic oversight.
Multi-task Budget Input	Allow program offices to split worksheets for updating by multiple sources.
Manage formulation appeals	Record revised funding amounts related to the appeal and associated justification reasons (i.e., narrative appeal).
Prepare budget justifications	Enter justification narrative associated with budget amounts.

Appendix B: Capabilities

Budget Package

Version 2.1

Capability	Description
Enable program review of FTE amounts	Provide for program office review of FTE amounts and record recommended FTE amounts or changes.
Prepare FTE justifications	Enter justification narrative associated with FTE amounts.
Record control figures	Record FTE allocations and budget appropriations, apportionments, and different levels of control amounts within specific program areas (including cross cuts) that represent DOE, SC, and program office guidance.
Record final FTE decisions	Enable review of funding amounts by SC management and financial management personnel. Record final decisions on FTE amounts.
Record FTE information	Record FTE information by fiscal year, B&R code, program area, and organization unit.
Budget formulation and execution	Enable Budget Execution and Budget Formulation functions for program direction activities.

Appendix B: Capabilities

Direction & Promotion Package

Version 1.0

Capability	Description
Record opportunities for scientific programs	Record basic information about scientific opportunities. Basic information includes source (e.g., reports of scientific progress), program area, and description of new scientific opportunities for SC programs.
Record proposed programs and research opps	Provide identifier (type, source, SC organizational unit, etc.) and description information (objectives, scope, anticipated results, schedule, etc.) about programs and scientific opportunities.

Appendix B: Capabilities

Direction & Promotion Package

Version 2.0

Capability	Description
Access position/opinions	Access position/opinion information on WEB sites, electronic files maintained by labs, institutions, etc. Search for opinion/position information based on keywords, times, source, and other criteria. Determine format of response Determine format of response based on request attributes. .
Determine responsible SC office/person	Determine responsible SC office /person based on key attributes of the information request.
Maintain SC opinion/position Information	Record SC opinion and position information by source, subject matter, date, and other criteria.
Provide processing status information	Provide information related to the status of an information request.
Record official responses to information requests	Record previous official responses to information requests and queries, including Congressional Q & A's.
Service information requests	Receive request and record basic information such as source, date, time, and subject area.

Appendix B: Capabilities

Direction & Promotion Package

Version 3.0

Capability	Description
Establish relationship scheme	Define and maintain scheme for linking lower level (tactical) goals to higher level (strategic) goals.
Import accounting data from CFO systems	Import actual obligations and costs from CFO systems.
Match CFO and SC funding	Compare CFO financial data against SC funding recommendation. Calculate discrepancies.
Record adjustments	Record adjusting entries (i.e. times, amounts, original entry).
Define performance measures	Record performance goals to define the level of performance to be achieved by a program activity; record the operational processes, skills, and technology, and the human, capital, information, or other resources required to meet the performance goals; record the basis for comparing actual program results with the established performance goals; and record the means to be used to verify and validate measured values. Maintain performance measures.
Record implementation goals	Collect information on SC implementation plans, cooperative agreements, facility, and project plans.
Record performance metrics	Record specific metrics (e.g., number of sub tasks completed, amount of budget consumed, number of scientific articles published) to be used in establishing performance measurements. Relate metrics to goals. Maintain metrics and relationships.
Record status information	Record status information based on metrics for each goal. Monitor status information collection (e.g., provide tickler reports to highlight missing status information)
Record strategic goals	Maintain information on SC strategic goals. Update the goal information.
Redistribute uncommitted balances	Calculate distribution of uncommitted balances using pre-defined or selected criteria. Track uncommitted balances. Calculate uncommitted balances.

Appendix B: Capabilities

Direction & Promotion Package

Version 4.0

Capability	Description
Establish outreach profile information	Maintain profile information (e.g., purpose, target audience, effective dates, etc.) for each outreach product. Provide an electronic catalog of outreach products on DOE/SC home page.
Record outreach product indicators	Maintain outreach product indicator information: number of products distributed/used, number of recipients, customer survey, etc. Enable statistical analysis of outreach products (e.g., trending, population reached).

Appendix B: Capabilities

Human Resources Package

Version 1.0

Capability	Description
Record recipient information	Maintain basic identification information on award recipients (e.g., name, nationality, award time, etc.).
Record SC non-scientific award description	Maintain information that describes each non-scientific award that is sponsored by SC: name, type (monetary, non monetary), purpose, frequency, constraints, etc.
Record SC scientific award description information	Maintain information that describes each scientific award that is sponsored by SC: name, type (monetary, non monetary), purpose, frequency, constraints, etc.
Record and maintain committee information	Maintain information about SC-related committees, including the name, type of committee, charter (text), organizing authority, dates, etc. Includes advisory committees.
Record committee membership	Maintain information on committee membership (SC employees and other persons) and roles.

Appendix B: Capabilities

Human Resources Package

Version 2.0

Capability	Description
Determine workforce impacts	Quantify the impact to the composition and size of the SC workforce using what if analyses.
Maintain class information	Maintain information about specific classes including when and where the class is offered, the instructor, and class size and any special requirements.
Record external course information	Record references or abstracts about external training sources.
Track HR actions	Record activity information (dates, type of action) of human resources (HR) actions such as performance evaluation, training, IDP, retirement, etc. Issue tickler information for past or upcoming HR events.

Appendix B: Capabilities

Intranet Package

Version 2.0

Capability	Description
Publishing Capability	Provide the ability to publish and subscribe to enterprise information.
News Channels	Provide links to pertinent news sources such as CNN scientific headlines, MSNBC, etc.
Workflow Capability	Provide enhanced workflow capabilities.
Projects Management	Provide the user with enhanced document / object / task management features.
Field Office Integration	Provide capabilities for field office access to specific business activities and enterprise information.
SC Support Center Applix Web Access	Enhance general IM management and communication.
Access Web-Enabled Applications	Provide access to web-enabled enterprise applications.
Solicitations	Provide access to current DOE SC solicitations.
Grants Application Policies	Provide access to DOE SC grant application policies
Video Streaming	Provide ability to host and access video
Organization Specific	Provide messaging related to organization specific information within an organization. Examples include the publishing of space planning services, office layouts.
Organization Charts	Provide access to organizational charts and general information.
Travel/Map/Transportation Services	Provides capability to access travel information.
Support Document Management	Provide access to enterprise document management functions.
Support Records Management	Provide access to future enterprise records management functions.
Access Web-Enabled Applications	Provide access to web-enabled enterprise employee phonebook.

Appendix B: Capabilities

Intranet Package

Version 3.0

Capability	Description
Access Web-Enabled Applications	Provide access to web-enabled enterprise applications.
Peer Reviews	Provide the capability to remotely receive/submit electronic reviews of proposals and other information.
Project Management	Provide the enhanced capability to manage project information in folders that are embedded within the portal.
Synchronous Collaboration Applications	Provide capabilities to access electronic chat, white boarding and electronic meeting technologies.

Appendix B: Capabilities

Procurement Package (SC-FAPS)

Version 2.0

Capability	Description
Generate and Send Procurement Request Package:	Generate and Send Procurement Request Package: Once a grant receives approval on the program level, Procurement Request (PR) Package 1.0 is generated and sent electronically to the Chicago Operations office. An electronic copy of the PR package is received, stored on a local server, and routed to the Contract Specialist and the Financial Office for final review and approval. Relevant data are captured, stored in the FAPS database, and used to generate documentation for PR Package 2.0.

Appendix B: Capabilities

Procurement Package

Version 2.1

Capability	Description
Award Justification	Allows the justification of award to be linked to its associated proposal and award.
Progress Narrative	Implements progress narrative fields.

Appendix B: Capabilities

Procurement Package

Version 3.0

Capability	Description
Record changes to work	Record changes to the baseline work information resulting from project/program oversight actions.
Record evaluation results	Collect reviewer's findings; relate to specific proposed or funded work. Enter evaluations for proposed or funded work
Record funded work	Maintain identification, description, performer, and other data about work that has been funded. Maintain baseline information set for the funded work.
Record reviewers	Record information on selected reviewers person id, area of expertise, etc.
Score competing proposed work	Compare scores from reviewers for proposed work against other comparable, competing proposed work, and/or predefined thresholds.
Manages AFP processing for Grants	For grants only, record the submission of and maintain information on recommendations for approval for new supplemental lab projects and new, renewal, continuation, or supplemental grants, cooperative agreements, interagency agreements, and contracts.
Provide electronic forms	Provide format and forms necessary for submission of proposals in electronic format, including via a WEB site.
Control access for FWP	Manage access to recommendation capability to specific program manager and program assistant personnel in SC program offices.
Provide analytical reporting for FWP	Provide cross cut, summary, and other reporting capabilities.
Record abstract Information for FWP	Collect key information on proposal: scope, work approach, cost, and exceptions to solicitation.
Record Proposal changes for FWP	Record times, originator, and other information on amendments, modifications, cancellation, and other events.
Acknowledge receipt for FWP	Acknowledge receipt to sending institution or person. Acknowledgment information (date, time, applicable program area, project, etc.) included. Enable electronic acknowledgement.
Manages AFP processing for FWP	Record the submission of and maintains information on recommendations for approval for new or supplemental lab projects and new, renewal, continuation, or supplemental grants, cooperative agreements, interagency agreements, and contracts.
Produce tabular Attachments for FWP	Generate attachments to program letters detailing the AFP, for labs and operations offices.

Appendix B: Capabilities

Procurement Package

Version 4.0

Capability	Description
Electronic Review	Facilitate electronic file transfer and review assignment for proposal/FWP review.
Enable electronic distribution	Communicate electronically with Commerce Business Daily and other publications for release of solicitations.
Receive Proposal	Provide multiple mechanisms for receiving proposals including electronic, WEB, EDI, and paper (hard copy).
Mail Merge	Supports the SC Headquarters grants and Field Work Proposal (FWP) processes by providing automated creation of grant and proposal reviewer letters.

Appendix B: Capabilities

Procurement Package

Version 4.1

Capability	Description
Final Report Approval	Provide the ability to receive, record, and designate approval or disapproval of final reports submitted by institutions.
Issue Initiation	Provide the ability to create and track issues associated with a progress report.
Oversight Actions	Provide the ability to create, record, and track oversight actions.
Progress Reports	Receive and record progress for SC funded work.

Appendix B: Capabilities

Reference Package

Version 1.1

Capability	Description
Issue Program / Reissue Office Guidance	Issue Program/Reissue Office Guidance used to guide the formulation of the Program Office budget.
Link programmatic / financial guidance	Enable linking of guidance information to previous guidance's and/or similar guidance.
Add / Edit a Sub Work Element	Provides the capability to enter base information related to a sub work element.
Link guidance items	Provides capability that allows one guidance item to refer to another and to access the referenced item.
Record guidance profile	Record profile information that identifies the type of guidance, the author, authorizing information, document identifiers, and the location of the guidance, if external to SC.
Search guidance	Enable search for internal guidance based on topics and words contained within the guidance items. Includes search of external guidance available on the WEB and other media. Add / edit a sub work element. Provide the capability to enter base information related to a sub work element.

Appendix B: Capabilities

Reference Package

Version 2.0

Capability	Description
This package version provides for the storage and maintenance of other data storage within the IMSC data store. These fields may be sparsely populated or recorded only where available. These fields will also be used as reference in other locations within IMSC where applicable. Some examples of these fields are described below:	
Categorize expertise information	Maintain code structure for classifying expertise. Provide a thesaurus of subject matter expertise areas to facilitate use of expertise information.
Classify facilities	Maintain a coding structure for classifying facilities.
Define a skill	Record characteristics derived from facts and statistics on previous work, educational background, professional affiliations, and publications produced that combined determine the qualification of a person to perform an SC activity.
Indicate position status	Maintain information about the status of each position. Status indicators include open, filled, etc.
Maintain person expertise information	Link person to expertise. Provide multiple view paths such as by subject matter area, education, previous participation on SC committee, etc.
Record position information	Maintain information on SC positions. Information includes: type of position, organization unit indicator, title, duties, responsibilities, KSA indicators, etc.
Record research facility information	Maintain basic information on research facilities: related program area or project, physical attributes such as area, security, dates (e.g., date constructed, retired, etc). Indicate facility status.

Appendix B: Capabilities

Support Services Package

Version 1.1

Capability	Description
Control changes	Control authorization of SC employees to enter and update procedure information. Record update information (time, originator, etc.) for audit trail purposes.
Determine concurrence routing	Provide for ad hoc concurrence routes.
Provide electronic signature	Attach digital/electronic signature blocks within the routing chain. Record and maintain authority levels for different types of information.
Store procedure description	Store procedure description (e.g., definition of each step, the role and responsibility for performing the step, and the previous and next step in the process chain). Administrative (e.g., travel), program (e.g., grant processing), and financial (e.g., procurement) procedures are included.
Store procedure profile information	Store profile information (identifier, source, authority, effective time) for each procedure. Maintain a catalog of SC procedures.
Track concurrence status	Record status as item is processed along the concurrence chain.
Track version number	Maintain sequential number reflecting version of item subject to concurrence.

Appendix B: Capabilities

Support Services Package

Version 2.0

Capability	Description
Establish profile information	Record profile information such as unique document identifier, medium, location, author, security indicator, and version.
Record contact content information	Record information on the subject and results (i.e. action items) of the contact. Relate the subject and results to a work activity.
Record contact information	Record information about the person or institution contacted: name, position, etc. and reason for contact (i.e. work identifier indicating contact work activity).
Record RIDS actions	Record information related to times that RIDS actions were taken (record/document entered into inventory, sent to storage location or destroyed). Prepare departmental RIDS reports.
Retrieve document.	Retrieve document in a view that is specified by the user. Support for multiple formats: word processing, various image formats, electronic forms, spreadsheet, voice, video, etc.
Store document	Store each type of document. Support for multiple formats: word processing, various image formats, electronic forms, spreadsheet, project management software, voice, video, etc.

Appendix B: Capabilities

Support Services Package

Version 3.0

Capability	Description
Capture resource status	Capture resource status (e.g., in service, unavailable) information.
Capture usage information	Capture usage information (e.g., time, user) for each resource.
Communicate employee work and event schedule	Transmit work and event schedule to employee.
Record assigned employee	Maintain information on the employee assigned to the task: name, position, SC organization, etc.
Record assignment	Record information (person, office number, etc.) on the assignment of a piece of equipment to a person or organizational unit. Maintain assignment information (e.g., update as a result of a move).
Record description of equipment	Record the physical description of SC owned equipment. Provide a unique identifier for each piece of equipment.
Record inventory actions	Collect information on actions (e.g., entry into SC inventory, disposal, return to central warehouse, sent for repair, etc.) taken related to a piece of equipment or other asset.
Record resource description	Maintain description of the meeting resources: meeting rooms (e.g., layout), equipment (PC installed, projector, LAN connections, etc.), and communications (telephone, video conference, speaker phones, etc.).
Record times	Record times including task schedule (begin and ending dates, milestone dates) and any changes to task schedule.
Record work status information	Maintain standard work status conditions. Issue tickler to alert supervisor and employee as to status and upcoming events.
Records assigned tasks	Maintain information on each assigned task: task name, task description, end result, originating organization/person, etc.
Service information requests	Record requests for meeting logistics information (description, location, availability, etc.). Match against resource records to determine availability of resource. Record request disposition (e.g., approved, canceled, etc.).
View inventory	Create multiple views for inventory information (e.g., facility, person, type of equipment).
View scheduled work	View employee(s) schedule and task. This capability includes cross cut by employee or task, summary by organizational unit or task, task status, etc.
Record materials exchange data	Track information regarding excess materials that are available or are needed within DOE.

Appendix B: Capabilities

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